

# Academic Regulations & Procedures

## Academic Evaluation

Academic evaluation of student performance shall be neither prejudiced nor capricious. A student who believes an evaluation to be deficient in this or any other way should seek remedy first through conference with the instructor. If a satisfactory resolution does not follow from that conference a student may carry the matter to the instructor's departmental chair and, eventually, to the Dean of the College. Such requests must be submitted within one year after grade transcription.

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*Approved by the Board of Trustees June 17, 1993, upon recommendation of College Council.*

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Last revised June 17, 1993

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For [Faculty](#), [Students](#)

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**Last Reviewed: Sep 9th, 2021**

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Maintained by Dean of the College Office

## Academic Integrity

Academic integrity is demanded in a college community. The life of the mind requires precision in attribution and authorship of work.

It is assumed that a student is the author of all course work (quizzes, problem sets, online contributions, tests, papers, lab work, etc.) that they submit, whether for a grade or not, and that the work has not been submitted for credit in another class without the instructor's permission. Images, ideas, data, audio clips, or phrases borrowed from others should be fully identified by standard procedures for making such acknowledgment. All permitted collaboration with others must still be acknowledged. It is recommended that all students consult the College's [Writing Across the Curriculum website](#) for additional guidance on plagiarism and how to avoid plagiarism in their writing.

An act of academic dishonesty is a serious offense in a college community. By seeking credit for work that is not their own, a student takes unfair advantage of fellow students--who accept their limitations--and of their teachers--who trust their work. Dishonesty in academic work, particularly in the form of plagiarism, cheating, or prohibited collaboration, also defeats the process of self-discovery that is the heart of a liberal education. Persons establish their integrity and personality as they learn to distinguish what is significantly their own from what belongs to others, and as they learn to value their own work, including its limitations, in relation to the work of others. As a scholar, finally, one should be generous and welcoming in acknowledging the work of other scholars, for their work makes possible one's own.

At Carleton College, an act of academic dishonesty is therefore regarded as conflicting with the work and purpose of the entire College and not merely as a private matter between the student and an instructor; all cases involving such dishonesty are referred for appropriate action to the Academic Standing Committee (ASC) via the Associate Dean of Students or the Associate Dean of the College.

The privileges of dropping a course and taking the S/Cr/NC option are suspended for a student for any course in which suspicion of academic dishonesty on the part of the student is reported to the ASC. No course in which a student has been found responsible for a violation of the College's academic honesty policies may be dropped or opted as S/Cr/NC. The privileges are restored, retroactively if need be, only if a finding of no responsibility is made by the ASC.

The Academic Standing Committee will determine whether or not the student is in fact responsible for violation of the academic honesty policy. When the student is found not responsible, the work is returned to the faculty member to be graded without bias or penalty. When the student is found responsible, a disciplinary sanction ranging from censure and warning to expulsion will be assigned. The ASC, in consultation with the faculty member(s), will determine grading

penalties, up to and including failure in the course.

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Last revised September 9, 2021

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For [Faculty](#), [Students](#)

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**Last Reviewed: Sep 9th, 2021**

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Maintained by Dean of the College Office

## Academic Load

All matriculated students are considered full-time students and must, by definition, register for and carry a minimum of 12 credits in each academic term, whether enrolled in Northfield or on an approved off-campus study program. Such students are eligible for financial aid under applicable regulations. Students will not be permitted to drop below 12 credits at any time; therefore it is wise to register for at least 18 credits, allowing for the need to drop a six credit course.

The College enrolls no part-time degree students but does permit the enrollment of "Special Students" on a course-by-course basis. Such students are non-degree candidates and are not eligible for financial aid.

No student may carry more than 22 credits in any term without the permission of the Academic Standing Committee (ASC). The ASC will consider petitions from students for up to 24 credits per term; normally a 3.0 cumulative grade point average is required. To earn the 210 credits required for graduation, students must average 17 or 18 credits per term in each of the 12 terms allotted them.

Off-campus study participants are not eligible for an overload. Petitions from first-year students will not be considered by the ASC, except in cases involving participation in applied music courses and theatrical groups.

See also [credit maximum and minimum](#), [petitions](#), [senior integrative exercise](#), and [special students](#).

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For [Faculty](#), [Students](#)

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**Last Reviewed: Sep 9th, 2021**

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Maintained by Dean of the College Office

## Academic Progress Reports

Faculty members are expected to notify the Office of the Dean of Students of any student at any point during the term, who they believe is experiencing serious academic difficulty, who has missed a large number of classes, who frequently submits late work, or who, for some other reason, should be brought to a dean's attention. This information is passed on to both the student and the student's academic adviser.

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For [Faculty](#), [Students](#)

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**Last Reviewed: Sep 9th, 2021**

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Maintained by Dean of the College Office

## Academic Standing Committee

The [Academic Standing Committee](#), composed of faculty members, administrators, and students, is convened almost weekly by its faculty chair. The committee rules on petitions for exception to academic regulations, approves special majors, and reviews the academic progress of students at the end of each term. It also serves as the judiciary in cases of academic dishonesty and library misuse or abuse cases.

See also [academic progress](#) and [petitions](#).

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For [Faculty](#), [Students](#)

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**Last Reviewed: Sep 9th, 2021**

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Maintained by Dean of the College Office

## Advanced Placement

Carleton accepts up to 36 credits toward the Carleton degree from any combination of the following: College Board Advanced Placement credits, International Baccalaureate credits, select British A-Level exams, or approved pre-matriculation credits (credits earned in college-level courses taken before graduation from high school or before matriculation at a college or university). **These credits may not be applied to liberal arts requirements.**

Carleton grants advanced placement and exemption from certain graduation requirements to entering students who are able to demonstrate a sufficient level of mastery in a subject. Each department sets its own criteria for advanced placement. Some advanced placement credits are conditional and are not awarded until the student has successfully completed, with a grade of C- or better, more advanced work in the same field in a Carleton course.

Students seeking advanced placement or exemption should check the [Academic Catalog](#) and contact the appropriate department for further information.

### Beginning with the incoming class of 2026

Carleton accepts any combination of up to 18 pre- or post-matriculation credits toward the Carleton degree from the following: College Board Advanced Placement, Higher Level International Baccalaureate, select British A-level Examinations (GCE) with grades of B or higher, or credits earned in college-level courses taken at a regionally accredited college or university, including courses taken as PSEO or College in the Schools. Specific articulation information about the exams listed above can be found in the College Catalog.

Carleton grants advanced placement and exemption from certain graduation requirements to entering students who are able to demonstrate a sufficient level of mastery in a subject. Each department sets its own criteria for advanced placement. Some advanced placement credits are conditional and are not awarded until the student has successfully completed, with a grade of C- or better, more advanced work in the same field in a Carleton course.

Students seeking advanced placement or exemption should check the Academic Catalog and contact the appropriate department for further information.

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Last revised September 9, 2021

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For [Faculty](#), [Students](#)

### Last Reviewed: Sep 9th, 2021

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Maintained by Dean of the College Office

## Argument and Inquiry Seminars

The required Argument and Inquiry Seminar is numbered 100, is graded A/F, and may not be dropped.

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For [Faculty](#), [Students](#)

### Last Reviewed: Sep 9th, 2021

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Maintained by Dean of the College Office

## Asterisk Policy

see [Graduation Requirements](#)

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For [Faculty](#), [Students](#)

### Last Reviewed: Sep 9th, 2021

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Maintained by Dean of the College Office

## Auditing Courses

Carleton does not have an official audit option. If permission is secured from the instructor, a student may audit a course, without credit, along with a regular academic program. Online course materials may not be available. Audited courses are not listed in the student's permanent record or transcript.

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For [Faculty](#), [Students](#)

**Last Reviewed: Sep 9th, 2021**

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Maintained by Dean of the College Office

## Change of Course Level

A student may use the Drop/Add procedure to shift to a more or less advanced course in language classes, through 204 (205 in Arabic, Chinese and Japanese), in mathematics (courses numbered 101, 111, 121, and 211), and in certain physical education courses (e.g., advanced tennis to intermediate tennis). In all cases, changes may be made through midterm without a notation on the academic record and without petitioning the Academic Standing Committee (ASC). When decisions to change course level are made after the online drop/add deadline, approval from both instructors and the academic adviser needs to be communicated to the Registrar's Office.

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Last revised September 9, 2021

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For [Faculty](#), [Students](#)

**Last Reviewed: Sep 9th, 2021**

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Maintained by Dean of the College Office

## Change of Section

Students may change sections via the Hub through the end of the drop/add period. To effect a change of section after the drop/add period, approval from both instructors is to be filed with the Registrar's Office before the last day of the term. No adviser approval is required. For this purpose a change of section shall be strictly interpreted to mean a change from one course to another having the same number and title, the same number of credits, and the same beginning and ending week.

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Last revised September 9, 2021

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For [Faculty](#), [Students](#)

**Last Reviewed: Sep 9th, 2021**

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Maintained by Dean of the College Office

## Class Attendance

It is expected that students attend classes. While attendance at classes is the responsibility of the student, who will be held accountable for any missed work, instructors are also requested to inform an associate dean of students when a student's attendance record gives cause for concern. The Academic Standing Committee (ASC) may, on occasion, require regular class attendance of a student on academic review.

Any student who fails to attend the first two classes in a course for which there is a wait list and who has not otherwise contacted the faculty member by the end of the second class to confirm enrollment will be officially dropped from the course if a signed request from the instructor is received by the Registrar by the end of the first week of class. This faculty prerogative does not relieve a student of final responsibility for proper registration.

Any student who fails to register for a minimum of twelve credits and attend classes prior to the end of the first week of the term may be withdrawn from the College.

See also [registration](#).

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For [Faculty](#), [Students](#)

**Last Reviewed: Sep 9th, 2021**

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Maintained by Dean of the College Office

## Class Year

A student's class year may be changed by the Academic Standing Committee. This will normally result when a junior or senior successfully petitions to accelerate graduation, in the case of deceleration, or when the student takes a leave of absence.

See also [academic progress](#).

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Last revised September 9, 2021

For [Faculty](#), [Students](#)

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**Last Reviewed: Sep 9th, 2021**

Maintained by Dean of the College Office

## Common Time

During academic terms, time set aside over the lunch hour on Tuesday and Thursday is designated as "Common Time." Appropriate uses of Common Time include:

1. All-campus events (e.g., LTC events, guest speakers, recitals);
2. Programs related to convocations (e.g., discussion groups prior to or following a convo speaker);
3. Departmentally-based events (e.g., comps talks and other student presentations, a faculty forum, brown bag lunches for faculty and students);
4. Committees or other groups that meet only on an ad hoc basis, irregularly or only for a single term (e.g., department review committees, task forces and subcommittees that meet only periodically);
5. Lunch, socializing, advising, independent study meetings, etc.

Common Time should not be used for:

1. Required class meetings or required class-related activities;
2. Regularly scheduled departmental, administrative or committee meetings;
3. Regularly scheduled meetings of faculty or staff members with students (e.g., weekly meetings between supervisors and student language assistants, regular meetings between residential life staff and RAs).

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For [Faculty](#), [Staff](#), [Students](#)

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**Last Reviewed: Sep 9th, 2021**

Maintained by Dean of the College Office

## Comprehensive Exercise

see [Senior Integrative Exercise](#)

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For [Faculty](#), [Students](#)

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**Last Reviewed: Sep 9th, 2021**

Maintained by Dean of the College Office

## Credit Maximum and Minimum

No student shall be allowed to be registered for fewer than 12 credits for the term (therefore, a student carrying 17 credits would not be allowed to drop a six credit course). Permissible maximum credit loads without prior approval of the Academic Standing Committee (ASC) are 22 credits for the term. The ASC will consider petitions from students for up to 24 credits per term; normally a B average is required. *First-year students are not eligible for an overload, except in cases involving participation in musical and theatrical groups.*

See also [academic load](#) and [petitions](#).

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For [Faculty](#), [Students](#)

**Last Reviewed: Sep 9th, 2021**

Maintained by Dean of the College Office

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## Credit Unit

Federal policy defines a semester credit hour as the amount of work that reasonably approximates one hour (50 minutes) of classroom or direct faculty instruction and a minimum of two hours of out-of-class student work per week for 15 weeks. At least an equivalent amount of work is required for other activities established by the college including practica, private study, studio work, ensembles, lessons, tutorials, independent studies, and other academic work leading toward the award of credit hours.

Carleton College operates on a 3-term calendar (September-June). A term normally consists of 10 weeks of instruction and one week of exams. In accordance with federal policy, a standard, 6-credit course at Carleton College normally meets three times per week for 200 minutes per week or two times per week for 210 minutes per week. For courses carrying fewer than 6 credits, classroom and out-of-class student work expectations are reduced by the appropriate proportion.

A standard course is valued at 6 Carleton credits and is the equivalent of 3.334 semester hours or 5 quarter hours. Laboratory courses in the sciences are equivalent to courses at other colleges valued at 5 semester or 8 quarter hours. Carleton's 210 credits required for graduation are equivalent to 117 semester credit hours or 175 quarter credit hours.

For [Faculty](#), [Students](#)

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**Last Reviewed: Sep 9th, 2021**

Maintained by Dean of the College Office

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## Dean's List

Dean's List is compiled each summer and is drawn from the top 10 percent of the previous year's first-year, sophomore and junior classes. Eligibility for Dean's List assumes three terms of academic work, the bulk of which is done at Carleton. Students on non-Carleton off-campus programs for one term are eligible for Dean's List if their off-campus grades are comparable to those they maintained at Carleton. Students off campus for two or more terms on a non-Carleton program are not eligible in that year. Students on leave for a term are not eligible in that year.

Grades for students on spring term non-Carleton off campus programs may not be available at the time Dean's List is compiled (and the Opening Convocation program is sent to the printer). Similarly, final grades for spring extensions (see "[ext](#)") may not yet have been received. When the outstanding grades are received in the Registrar's Office, it will be determined whether or not the student's work merits Dean's List. Where it does, the Dean's List honor will be posted on the student's transcript.

For [Faculty](#), [Students](#)

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**Last Reviewed: Sep 9th, 2021**

Maintained by Dean of the College Office

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## Declaration of Major or Minor

Early in the sixth term of enrollment, but not before that term, students must declare an academic area as their major field or they will not be allowed to register for the seventh term. Students wishing to change their major during the junior or senior year can do so by obtaining the approval of the chair of the new department and completing the form available from the Registrar's Office. Students who are planning a special major are advised to petition the Academic Standing Committee (ASC) during winter term or early spring term of their sophomore year.

A student can declare a minor at any time between the second week of their 6th term and the second week of their 10th term by completing the form available from the Registrar's Office. A student can drop a minor by filing a Removal of Minor

form with the Registrar at any time. Failure to complete a minor by graduation will result in the minor being dropped from the student's record.

See also [double major](#) and [special majors](#).

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Last revised September 9, 2021

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For [Faculty](#), [Students](#)

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**Last Reviewed: Sep 9th, 2021**

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Maintained by Dean of the College Office

## Disabilities

see [Disability Access and Accommodations](#)

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For [Faculty](#), [Students](#)

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**Last Reviewed: Jan 7th, 2022**

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Maintained by Dean of the College Office

## Disability Access and Accommodations

Carleton works to create and maintain an environment in which all people may learn, work, and live to their fullest potential. When there are barriers to access related to physical structures, academic programs, residential life, employment, and other campus activities, individuals with disabilities or a religious belief/practice can contact the offices responsible for addressing reasonable accommodation requests. An interactive process is used to gather information from the individual, discuss limitations created by the disability or religious belief/practice and discuss how best to respond to the need for accommodation. Usually current documentation from a health provider is required for a medical accommodation.

Prospective and current students with disabilities should contact [Office of Accessibility Resources](#) by calling 507-222-4464, emailing [OAR@carleton.edu](mailto:OAR@carleton.edu), or visiting the office at 107 Union Street to address accommodation or access concerns.

Disability accommodation needs of faculty and staff are addressed through [Human Resources](#) by calling 507-222-4174, emailing [hr@carleton.edu](mailto:hr@carleton.edu), filling out an employee [accommodation form](#) or visiting the office at 118 College Street. Visitors can contact a specific office or program for assistance or communicate with Accessibility Resources.

Carleton is guided by the [Rehabilitation Act \(1973\)](#), the [Americans with Disabilities Act \(1990\)](#), the [ADA Amendments Act \(2008\)](#), and [Fair Housing Act](#) in responding to the needs of students, faculty, staff, and visitors with disabilities.

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For [Faculty](#), [Staff](#), [Students](#)

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**Last Reviewed: Jan 13th, 2022**

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Maintained by Human Resources

## Distinction in a Major

A student may be given "distinction" in a major upon achieving distinction in the senior integrative exercise, and having a cumulative grade point average of at least 3.5 in all courses taken in the major department.

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For [Faculty](#), [Students](#)

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**Last Reviewed: Sep 9th, 2021**

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Maintained by Dean of the College Office

## Double Major

Students wishing to declare a double major must obtain the approval of the chairs of the two departments concerned and [petition](#) the Academic Standing Committee (ASC), showing the plan for the two majors. Students must show they can graduate within 12 terms and normally a 3.0 cumulative grade point average is required; the ASC will not award extra terms

for a student to complete two majors, nor will the ASC allow students to finish a second major out of residence. There cannot be more than a four course overlap between the two majors. To graduate, a student must fulfill the requirements of both majors. Students wishing to drop one of their two majors must do so by petitioning the ASC. Courses associated with the senior integrative exercise (comps) cannot be dropped after the drop/add deadline, so students wishing to drop one of their two majors must plan accordingly. Students are not allowed to complete a double major after leaving Carleton. Triple majors will not be entertained.

See also [declaration of major](#), [petitions](#) and [senior integrative exercise](#).

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Last revised July 21, 2016

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For [Faculty](#), [Students](#)

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**Last Reviewed: Sep 9th, 2021**

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Maintained by Dean of the College Office

## Drop/Add

When the term begins on a Monday, the drop/add period ends at 11:59 p.m. on the Sunday following. When the term begins on a different day of the week, this period ends at 11:59 p. m. on the fifth day of classes: for example, if the term begins on Wednesday, the drop/add period ends just before midnight on the following Tuesday.

Students may make changes in 10-week and second 5-week course registrations online via the Hub until the end of the drop/add period. Students may also drop/add first 5-week courses via the Hub during the drop/add period. Should an instructor believe that a student has missed too much of a course, the instructor can withhold permission to add a course. After the above deadlines, students may use drop/add cards to add or drop second 5-week courses up until 5:00 p.m. of the fifth day of the second 5 weeks. See the Academic Calendar for specific deadlines.

When using drop/add cards for anything other than a change from one section to another of a multiple section course, the signature of the instructor(s) involved and the adviser will be required. For a change of course section, only the instructor's signature will be required (see Change of Section for deadline information). However, a student registered for a course for which another section is offered for different credit must switch sections using the drop/add procedure during published deadlines; the adviser's signature is required.

Provided the 12 credit minimum is observed, courses may be "late" dropped until 5:00 p.m. on the seventh Friday of the term for 10-week courses, the third Friday of the term for first 5-week courses, and the eighth Friday of the term for second 5-week courses. Courses described as seminars may be late dropped only with the instructor's permission (which may be withheld). Courses numbered 100 and 400, as well as those courses related to the senior integrative exercise, may not be late dropped (see point 2 under [Senior Integrative Exercise](#) for sole exception to this policy). After the one-week drop/add deadline, a drop results in a grade notation of "DRP" on the transcript and is identified as "course dropped after the normal drop/add period without penalty." A blue "late-drop" card is provided for this purpose, and both the instructor's and adviser's signatures are needed.

No course may be dropped after 5:00 p.m. on the day of the late drop deadline noted above.

While a pattern of frequent use of this option may be interpreted by graduate schools and employers as an indication of inability to complete academic obligations, an occasional "DRP" notation on a transcript is no cause for concern. The Academic Standing Committee (ASC) regards the DRP as a valid elective option for a student in cases where a course cannot be completed for a variety of reasons as well as in cases where students have simply missed the registration deadline. Petitions to remove a DRP notation from the transcript are not usually granted.

Carleton College off-campus studies seminars may not be dropped.

See also [change of course level](#), [change of section](#), [registration](#), [senior integrative exercise](#).

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Last revised April 23, 2015

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For [Faculty](#), [Students](#)

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**Last Reviewed: Sep 9th, 2021**

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Maintained by Dean of the College Office



## Electronic Devices in the Classroom

Faculty reserve the right to regulate the use of electronic devices (laptops, phones, tablets, etc.) in class. Students with documented disabilities may request an exception to an individual instructor's policy through the Coordinator of Disability Services for Students.

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*Approved by the faculty November 4, 2013.*

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Last revised November 4, 2013

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For [Faculty](#), [Students](#)

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**Last Reviewed: Mar 1st, 2022**

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Maintained by Dean of the College Office

## End of Term Deadlines

While faculty members may establish earlier deadlines for the work in their courses, students are to have all work completed and submitted for a course not later than the end of the official examination schedule for that term (or the last day of the course if it is neither a ten-week nor second five-week course). Late work is not to be graded. Work may extend beyond the end of the exam schedule only if an "EXT" (extension granted) has been approved by an associate dean of students or an associate dean of the college.

This policy is intended to set an outside limit on the time allowed to complete course work and provide a degree of fairness among students. While the quality of a student's work may improve if given additional time, it is also important to maintain a common framework of time available to all students. If special circumstances seem to warrant additional time for an individual, the student or faculty member should request and receive approval for an "EXT" before any extended time is provided.

See also [examinations](#), ["ext"--extension granted](#).

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For [Faculty](#), [Students](#)

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**Last Reviewed: Sep 9th, 2021**

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Maintained by Dean of the College Office

## Examinations

Ordinarily, final examinations are given in all courses other than advanced seminars and independent studies, although an instructor may arrange to use other means of evaluation. The final examination schedule is determined by the Registrar's Office. Students may elect to take their exams at the regularly scheduled times. A professor may not require any student to take an examination at a different time if the student prefers the scheduled time. Instructors and space permitting, students may also elect to self-schedule their final examinations. Open-book exams may not be self-scheduled. Consult the [Registrar's Office](#) for a list of regularly scheduled and self-schedulable final exam slots.

Students wishing to take a self-scheduled exam must signal this intention to their instructors by the beginning of the last week of classes. If this is not done, the student must sit for the exam at the regularly scheduled time and place. Students who have formally elected to self-schedule, however, may change their minds and sit for the exam at the regularly scheduled time slot, unless the instructor is only offering the exam as a self-scheduled exam.

No final examination shall be given on Reading Days or before the start of the examination schedule. An instructor may not require more than one major project due after 5:00 p.m. of the last day of class. In particular, only one traditional in-class final, take-home final, final paper, etc., may be required during the final examination period. All other work for the course must be due by the last day of classes.

If the final is a take-home exam (where the questions are made available only on the last day of classes):

1. students should be so informed at the beginning of the course;
2. it should be handed out the day of the last class meeting; and
3. it should be due at 5:00 p.m. the last day of the examination period in order not to interfere with regularly scheduled

examinations.

A student who has exams (that cannot be self scheduled) in each of three consecutive exam periods shall be entitled to have one of the three rescheduled; if all three professors are unwilling to reschedule, then the student is entitled to have the third exam rescheduled.

A student may miss a final exam only for reasons of illness or circumstances beyond the student's control, and must obtain permission from an associate dean of students beforehand. Extensions will not be granted to students who fail to sit for final exams through their own negligence, whether due to poor planning or tardiness.

See also ["ext"--extension granted](#) and [reading days](#).

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Last revised September 9, 2021

For [Faculty](#), [Students](#)

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**Last Reviewed: Sep 9th, 2021**

Maintained by Dean of the College Office

## Extensions (EXT)

Students are expected to complete all course work by the [end of a term](#). When this is not possible as a result of illness or circumstances beyond the student's control, they may request an extension (EX1, EX3, EXT). The College distinguishes between two types of extensions – personal and academic. Only in the most unusual circumstances can an extension – either personal or academic – be granted in applied music and PEAR courses. Generally, third term seniors are not eligible for extensions.

### Personal Extensions (EX1, EX3):

Personal extensions for coursework associated with the end of the term are appropriate for students coping with illness or other circumstances beyond their control. Students requesting a personal extension should contact their Class Dean, who will review their request and confer with the instructor and other appropriate parties (health and counseling staff, etc.). All extension requests must be submitted before 2:00 p.m. the day following [the final exam period](#).

The due date for completed work will be set at the time the extension is granted; students will receive either an EX1 for a one-week extension or an EX3 for a three-week extension.

### Additional Extension of Personal Extension Deadline:

Under exceptional circumstances, a student may request additional time to complete their extension. Any request for an additional extension beyond the original EX1 or EX3 timeline must be made in writing for review by the Academic Standing Subcommittee. The request must be made in writing before the end of the extension that was originally granted. The request must provide the reason for the additional extension along with any additional materials (e.g., medical documentation). Input from the instructor is also required. Extensions of the deadline will only be granted in cases where circumstances are compelling and beyond the control of the student. Deadlines will be determined on a case-by-case basis and [should not extend more than 4 weeks](#) from the original extension deadline.

### Grading of Coursework granted an EX1 or EX3:

In response to an extension approval, the instructor will be asked to [provide the grade that the student would earn](#), based on the work completed, when student grades are due. At the end of the extension period, if the student has submitted some or all of the work covered by the extension, the instructor will recalculate the course grade to reflect the full or partial completion of the work. The Registrar will notify the instructor of the deadline for submitting the final grade; the instructor must submit the grade by this deadline. If none of the coursework associated with the extension is submitted by the revised deadline, the student will receive the course grade the instructor calculated at the time the original extension was approved. This grade will also be recorded on the transcript if the instructor does not report an updated grade to the Registrar's Office by the extension's grading deadline. A student who receives a non-passing grade as a result of not completing all or some of the extended work should refer to the College's policy on [retaking courses](#).

### Academic EXTs:

Academic extensions (EXT) are appropriate when something nonpersonal interferes with a student's ability to complete

work: the kiln blows up; the rats die; the promised research materials arrive late. "Normal" computer failures are not covered by this policy; it is expected that students will back up their files.

Only rarely will EXTs be granted for academic reasons. If a student or faculty member wishes to request an EXT on academic grounds, the *instructor* should submit the written request for approval to the Associate Dean of the College, explaining the circumstances in full.

The due date for completed work will be set at the time the extension is granted, but in no case will it be later than the end of the second week of the following term. The instructor, the Associate Dean of the College, and the student must agree in writing on the due date. The instructor must submit a final grade for the course by the end of the third week of the following term.

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Last revised February 12, 2020

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For [Faculty](#), [Students](#)

**Last Reviewed: Sep 9th, 2021**

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Maintained by Dean of the College Office

## Financial Obligations

Permission to register may be denied to students who have an outstanding financial obligation.

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For [Families](#), [Students](#)

**Last Reviewed: Dec 13th, 2021**

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Maintained by Dean of the College Office

## Grade Complaints

see [Academic Evaluation](#)

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For [Faculty](#), [Students](#)

**Last Reviewed: Sep 9th, 2021**

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Maintained by Dean of the College Office

## Grade Point Average (GPA)

Courses taken S/Cr/NC do not count toward a student's GPA. Grades received for courses taken at St. Olaf while enrolled at Carleton through the Inter-registration process will be included in the student's GPA. Courses taken on off-campus study programs led by Carleton faculty count toward GPA unless otherwise indicated. Though grades received from all other off-campus study programs are posted on the Carleton transcript as evidence of accomplishment, they are not included in the student's GPA. Transfer credits are posted to the Carleton transcript without grades and do not count in the student's GPA.

See also [grading system](#) and [satisfactory/credit/no credit \(s/cr/nc option\)](#), and [retaking courses](#).

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For [Faculty](#), [Students](#)

**Last Reviewed: Sep 9th, 2021**

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Maintained by Dean of the College Office

## Grade Reporting

Grade reports for each course are submitted to the Registrar online at the close of each term. Once a grade has been reported it becomes part of the student's permanent record and can be changed only by the faculty member and with the approval of the Academic Standing Committee (ASC). Registration errors which result in grades of F may only be corrected through successful student petition to the ASC.

A student taking a course ending in the fifth week of a term must submit all work by the end of the course. Final grades for courses ending in the fifth week shall be submitted no later than the grading deadline for courses ending in the tenth week. A student who wants grade information before the end of the term must ask the professor.

See also [grading system](#).

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For [Faculty](#), [Students](#)

**Last Reviewed: Sep 9th, 2021**

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Maintained by Dean of the College Office

## Grades

See [Academic Evaluation](#)

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For [Faculty](#), [Students](#)

**Last Reviewed: Sep 9th, 2021**

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Maintained by Dean of the College Office

## Grading System

Carleton's computation of Grade Point Average includes pluses and minuses, using the following numerical values:

Grade / Point Value

A / 4.00

A- / 3.67

B+ / 3.33

B / 3.00

B- / 2.67

C+ / 2.33

C / 2.00

C- / 1.67

D+ / 1.33

D / 1.00

D- / .67

F / .00

S / C- through A

Cr / D- through D+

NC / No Credit/Fail

\* / Student opted ungraded

L / Laboratory completed

CNT / Continuing course

CI/ Continuing Integrative

EXT / EX1 / EX3 / Extension granted

DRP / Dropped without penalty after one week drop/add period

Neither S/Cr nor NC grades are figured into the GPA.

"D" level work will not be sufficient to satisfy course requirements in the major department or in a minor or in required courses for the major offered by another department. Required courses in the major or minor cannot be taken on a S/Cr/NC basis (see [Major Field Requirements](#) and [Minors](#) for more detail). Courses taken to fulfill specific Liberal Arts

requirements must be passed with a grade of S or C- or better.

An "X grade" on an unofficial transcript signifies that no grade was received. In the absence of any clarification, such a "grade" becomes an "F" or "NC."

If you have questions about grades, contact the Registrar's Office.

See also [grade point average](#).

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Last revised September 9, 2021

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For [Faculty](#), [Students](#)

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**Last Reviewed: May 5th, 2022**

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Maintained by Dean of the College Office

## Graduation Requirements

A complete listing of graduation requirements can be found in the [Academic Catalog](#). Students are responsible for fulfilling these requirements and are encouraged to consult with their academic advisers and resident assistants in planning their course schedules. Students are required to check their online transcript and progress toward degree report each term for completeness and accuracy. Questions should be directed to the Registrar's Office.

Briefly, students must earn at least 210 credits with a minimum grade point average of 2.0 to graduate.

Students must complete the Argument and Inquiry Seminar, which includes a writing rich experience; six credits of additional writing rich (WR2) coursework, a writing portfolio, 36 credits in Curricular Exploration and Intellectual Engagement, four (4) terms of physical education, proficiency in a foreign language, three courses designated as quantitative reasoning encounters (QRE), six credits each in international studies and intercultural domestic studies, all courses required for the major (all of the above with grades of S or C- or better) and a comprehensive examination or senior integrative exercise. Transfer students will typically be required to substitute a second WR2 course for the A&I seminar.

In June of each year the Academic Standing Committee (ASC) makes a final review of the records of all seniors. The ASC may permit 12th term seniors who have not completed all degree requirements to participate in the commencement ceremony that year. In these cases, students' names will be designated with an asterisk on the commencement program. Students who are required to return to Carleton to complete their degrees are not eligible to participate in commencement.

In all cases, the ASC determines which students are required to return to Carleton to complete their degrees and which students are required to complete their work elsewhere. Normally, the student who begins their 12th and final term at Carleton without being theoretically able to complete the degree should be prepared to complete the remaining work at another institution following the current regulation for transfer of credit. In some cases—for example when the student must complete the senior integrative exercise or courses required for the major—the student may be required to complete additional work at Carleton, or may be suspended or dismissed. When a student has made up all deficiencies in graduation requirements, the degree is awarded. The student is eligible to participate in commencement the following June, unless the student has already been allowed to walk at an earlier commencement.

A student who has declared their major, has passed the writing portfolio, and wishes to graduate in less than 12 terms may signal that intention by submitting to the registrar a copy of their degree audit and the Request to Accelerate Graduation form, approved by the student's major adviser(s) and major department chair(s), confirming that the proposed program is feasible. All graduation requirements must be satisfied by the end of the accelerated final term or the student will be required to register for an additional full-time term.

See also [satisfactory academic progress](#), [latin honors at graduation](#) and [writing requirement](#).

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Last revised September 9, 2021

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For [Faculty](#), [Students](#)

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**Last Reviewed: Sep 9th, 2021**

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Maintained by Dean of the College Office

## Honors in Independent Study

Outstanding independent work may be cited for "Honors in Independent Study" at Honors Convocation. Such recognition is based solely on the excellence of the special project and is considered independently of a student's academic average or other qualifying factors. The independent study project need not be in the student's major field and is available to all students in any class, not just to seniors.

Work submitted for consideration for Honors in Independent Study normally would have been done under the rubric of independent study as listed in the [Academic Catalog](#). This means that course papers, comprehensive projects, etc., would not ordinarily be eligible for consideration; they receive other awards.

Additional information can be found on the Dean of the College website [here](#).

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Last revised January 14, 2016

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For [Faculty](#), [Students](#)

**Last Reviewed: Sep 9th, 2021**

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Maintained by Dean of the College Office

## Independent Study/Reading/Research

A student may enroll in independent study (numbers 291 or 391) independent reading (numbers 290 or 390), or independent research (numbers 292 or 392) with the consent of a professor. Cf. [Academic Catalog](#) for definitions of these three terms. Independent work typically is completed within one term. In cases where it spans more than one term, grades are submitted at the end of each term. An independent work form ([available from the Office of the Registrar](#)) must be completed by the student, signed by the professor and adviser, and submitted to the Registrar by 5:00 p.m. the fifth day of the term. Submitting this form permits but does not automatically accomplish registration; independents are subject to the further approval of the registrar and the associate dean of the college.

Change of credit is not allowed for independent work. Grades are to be submitted at the end of the independent period, consistent with the policy for scheduled courses, and an independent must be completed by the student within the schedule indicated on the application. Independent work completed at midterm must be graded by the end of the term. Independents which duplicate the content of currently offered courses are not allowed. The policy for "EXT" grades also applies to independent work.

A student interested in taking an independent study should check with the professor to see if the department has additional guidelines governing independent work.

The grading method for independent work must be agreed upon with the instructor and clearly stated on the independent form before submitting it to the registrar at the time of registration. No independent work may count toward liberal arts requirements.

Seniors may take independents (numbers 390, 391 or 392) concurrently with and related to another course. Intensive independent work (up to 12 credits) is possible in all three terms. Non-seniors are limited to a maximum of six credits of independent work during any single term. Independent Study/Reading/Research (290-292 and 390-392) may not be used to repeat independent studies.

See also [retaking courses](#), [summer independent study](#) and [winter break credit](#).

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Last revised April 23, 2015

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For [Faculty](#), [Students](#)

**Last Reviewed: Sep 9th, 2021**

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Maintained by Dean of the College Office

## Internships

Internship opportunities are appropriate for students who wish to explore further an academic area, gain work experience in a field of their choice, or explore a possible career.

Internships *per se* do not carry academic credit. Any credits that accrue from an internship arise from an independent study course associated with the internship and taken concurrently with or following the internship. Such independent studies are supervised by a Carleton faculty member, carry appropriate academic/intellectual weight, must be substantially different from the internship, and include explicitly stated mechanisms for evaluation of work done in the course.

See also [independent study](#), [summer independent study](#) and [winter break credit](#).

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For [Faculty](#), [Students](#)

**Last Reviewed: Sep 9th, 2021**

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Maintained by Dean of the College Office

## Language Placement Examinations

Arabic, French, German, Hebrew, Latin, Greek, and Spanish language placement exams for incoming students are administered during the summer prior to matriculation. Language placement exams for Chinese, Japanese, and Russian are regularly scheduled during new student week. Incoming students interested in pursuing study in one of the languages offered at Carleton should take the appropriate exam. There is no fee for tests taken during fall term administration.

Students applying to retake an exam must offer proof that they have made an effort to advance their language competence (through extensive travel abroad, formal coursework taken off-campus, etc.). Forms are available in relevant department offices. Normally, students will be given the opportunity to take the test in a given language no more than twice.

[Click here](#) for more information.

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Last revised November 19, 2018

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For [Faculty](#), [Students](#)

**Last Reviewed: Sep 9th, 2021**

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Maintained by Dean of the College Office

## Language Requirement

The College expects all students to complete the language requirement. Students may meet the language requirement in one of four different ways:

1. by testing out with an appropriate score in the CEEB Advanced Placement examination, International Baccalaureate examination, or in another standardized examination selected by the faculty of a particular language in consultation with the Associate Dean of the College; or
2. by satisfactory completion (grade of S, C-, or better) on the fourth-level courses (fifth-level in the case of Arabic, Japanese, and Chinese); or
3. by passing a proficiency examination designed or selected by the faculty of the particular language in consultation with the Associate Dean of the College; or
4. by passing a special examination with speaking and reading components (if a written language), prepared by an expert for those languages not taught at Carleton. Arrangements are made by the Associate Dean of the College.

### Language Progress

Students who receive advanced placement in a language and wish to use that language to satisfy the language requirement should begin with that level of placement when it becomes available in the first year, unless otherwise counseled by their academic adviser.

A student must begin to fulfill the language requirement before the fifth term at Carleton. In sequential language courses, a student must earn a C- or better to progress to the next course.

### Exemption or Substitution Based on Language Learning Disability

Students with learning, speech, hearing, or other disabilities that impact the study of foreign language may petition the Language Requirement Exemption Committee, a subcommittee of the Academic Standing Committee (ASC), to request an exemption from, or substitution for, the foreign language requirement. Students seeking to petition based on a disability must be formally registered with the Office of Accessibility Resources, have sufficiently engaged in an interactive process with Accessibility Resources to explore potential reasonable accommodations (other than an exemption), and have provided to Accessibility Resources adequate supporting documentation from a qualified provider.

Students experiencing inordinate difficulty in mastering a language in the classroom, with no language-related disability, may also request exemption. In addition to evidence of difficulty in language study, attested by their faculty, the College expects students to have made a good faith effort, to have attended class regularly, and to have sought help from the various resources available at Carleton (i.e., instructors and tutors). [More information on the exemption procedure.](#)

For any student granted an exemption, the Language Requirement Exemption Committee has the authority to waive additional courses or require from one to three pre-approved alternate courses in linguistics, literature, and/or culture.

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Last revised September 9, 2021

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For [Faculty](#), [Students](#)

**Last Reviewed: Sep 9th, 2021**

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Maintained by Dean of the College Office

## Late Drop

see [Drop/Add](#) and [Registration Changes](#)

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For [Faculty](#), [Students](#)

**Last Reviewed: Sep 9th, 2021**

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Maintained by Dean of the College Office

## Latin Honors at Graduation

Carleton recognizes outstanding academic performance by awarding the Latin honors of *cum laude*, *magna cum laude*, and *summa cum laude* to students with qualifying cumulative grade point averages. These honors are noted on diplomas and final transcripts of those students.

Latin honors are awarded to students with a grade point average in the top 2% of their graduating class (*summa cum laude*), those in the remainder of the top 15% (*magna cum laude*), and those in the remainder of the top 30% (*cum laude*).

Students who receive an asterisk at commencement will not be recognized on the program as receiving Latin honors. When the diploma and final transcript are issued, these honors will be indicated as appropriate.

See also [graduation requirements](#).

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Last revised July 16, 2014

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For [Faculty](#), [Students](#)

**Last Reviewed: Sep 9th, 2021**

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Maintained by Dean of the College Office

## Learning Disabilities

see [Disability Access and Accommodations](#)

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For [Faculty](#), [Students](#)

**Last Reviewed: Jan 7th, 2022**

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Maintained by Dean of the College Office



## Leave of Absence (Medical, Military Service, and Personal)

A leave of absence is a temporary interruption in a student's program of study and refers to the specific time period when a student is not in attendance and pursuing academic work at the College. Students who have taken a leave are not eligible to work or live at the College until the term of enrollment as indicated in their readmission letter.

A student may request a total of three terms of leave of absence during their time at Carleton. The total of three terms can include any combination of medical, military service, or personal leaves.

Students interested in exploring the leave options need to talk with their advisers and/or their class dean/assistant dean. Leave of absence requests must be made prior to the start of the term. Medical leaves requests, during a term, need to be submitted by 5:00 p.m. on the last day of classes. Leave of absence requests are processed by the Dean of Students Office on behalf of the Academic Standing Committee (ASC). The student must intend to return to Carleton to be granted a leave of absence. If, at the end of the leave of absence the student fails to return to Carleton, the leave will convert to a withdrawal back-dated to when the leave of absence began. This may cause any affected Title IV loans to enter into immediate repayment.

Notes: (1) A leave of absence is for nonacademic activities; if students choose to study elsewhere, credit will not be transferred to Carleton. Students entering with the class of 2026 should review the Transfer of Credit policy for updates to this note. (2) A leave of absence may cause the student's class year to change which may impact housing and registration priority numbers. (3) A student who is away from the College on leave of absence status for more than three terms will be withdrawn with the option to petition for readmission when they are ready to return. (4) Any student who receives financial aid should consult with Student Financial Services to discuss how their aid may be impacted by a leave or the extension of a leave.

### Medical Leave During a Term

A student who cannot complete the term due to illness or other health issues may petition the Dean of Students Office for a medical leave.

Notes: (1) A student who takes a medical leave will have DRP's (drops) recorded for courses they are enrolled in at the time of the leave. (2) Return from medical leave must be approved by the Dean of Students Office in consultation with Student Health and Counseling, through a [petition process](#) and by providing the proper documentation from a medical professional supporting the student's readiness to return. (3) Normally, students returning from medical leave are not allowed to immediately go on an OCS program. (4) A term of medical leave does not count in your 12 academic terms but may count toward your allotted financial aid; any student who receives financial aid should consult with Student Financial Services to discuss how their aid may be impacted by a leave or the extension of a leave.

### Military Service

A student may request a leave for military service at any time. Students petitioning to return to the College from military service who were in good academic standing at the time of their leave will typically be granted readmission.

Note: Students will be allowed to take a leave from the College for active service in the U.S. Military without penalty. If the leave is requested during the term, students will receive a 100 percent tuition refund and a pro rata refund of unused room and board fees (less any financial aid which may have been received for the term) upon presenting an original copy of their military orders for active duty to the Dean of Students Office. Alternatively, extension (EXT) grades with no tuition reimbursement may be more appropriate when the call for active military duty comes near the end of the term.

### Personal Leave

Leave of absence requests must be made prior to the start of the term. Personal leaves are usually for students who need a break from academic work and wish to engage in volunteer work, earn extra money for college, pursue other opportunities, etc. A student on a personal leave is able to return to college by submitting a petition to the Dean of Students Office. Students interested in leaving after the term has started should discuss options with their class dean/assistant dean (see also "withdrawal from the college").

### Administrative Withdrawal

Carleton provides a range of support services to address the medical needs of students, including mental health issues. However, there may be circumstances in which students experience health needs beyond what they can obtain while at Carleton. In such circumstances, students may take a voluntary leave or withdrawal.

In situations where a student is unable or unwilling to carry out substantial self-care obligations, where current medical knowledge and/or available evidence indicates a student poses a significant risk to the health or safety of others, or where a student poses an actual risk to their own safety and the student does not want to take a leave or withdraw voluntarily, the Dean of Students Office has the authority to place the student on a mandatory leave of absence or to mandate withdrawal from the College. Carleton will do an individualized assessment to determine if there are reasonable accommodations that would permit the student to continue to participate in Carleton's campus community. Nothing in the policy limits Carleton's ability to take immediate temporary action while an assessment of a situation occurs.

Carleton may require a medical assessment as part of the leave or withdrawal process, or as a condition for returning to the College. Whether a medical assessment is required and the terms of any assessment, including the professional conducting the evaluation, may be established by Carleton based on the particular circumstances of the situation. The process for returning may be similar to the medical leave of absence return process.

Decisions regarding administrative leaves or withdrawals may be appealed in writing to the Vice President for Student Life and Dean of Students. Any appeal must be received by the Vice President for Student Life and Dean of Students within five days of being notified of the final decision to place a student on leave or withdrawal. This Administrative Leave or Withdrawal policy is not a disciplinary code, policy or process but there may be overlap in situations in which a student engages in behavior that also implicates Carleton's rules of conduct.

See also [academic progress](#), ["ext"--extension granted](#), [off-campus study](#), [transfer of credits](#), and [withdrawal from the college](#).

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Last revised September 9, 2021

For [Faculty](#), [Students](#)

**Last Reviewed: Sep 9th, 2021**

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Maintained by Dean of the College Office

## Liberal Arts Requirements

Liberal arts requirements refer to requirements set to ensure that all students are exposed to a wide range of subjects and methods. The [Academic Catalog](#) describes Carleton's liberal arts requirements in the section "Academic Programs." Certain courses do not count toward fulfillment of the liberal arts requirements because they do not satisfy the intent of the policy. Refer to the liberal arts "areas" noted in the *Academic Catalog* following each course description. Prematriculation courses, advanced placement credits, and independent study/reading/research cannot be used to fulfill liberal arts requirements. Courses taken to fulfill specific graduation requirements must be passed with a grade of S or C- or better.

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Last revised June 25, 2013

For [Faculty](#), [Students](#)

**Last Reviewed: Sep 9th, 2021**

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Maintained by Dean of the College Office

## Library

The Carleton College Library exists to support learning and teaching by providing information resources and services to the Carleton College community. Information specialists are available to help you pursue your interests on any topic.

The library is a central intellectual commons, and policies exist to ensure that library resources will be equitably available to all members of the community and to preserve them for future users. These policies are available on the library Web pages <https://apps.carleton.edu/campus/library/about/policies/> and all users are responsible for following them. Students who violate these policies may be referred to the Academic Standing Committee (ASC) for abuse of library privileges.

If a student violates a library policy and the library staff reports the violation to the Academic Standing Committee, the committee ordinarily will handle the case through a hearing as outlined in the [Student Handbook](#). In the following specific cases for a first offense, the ASC has adopted automatic penalties over and above fines or other costs imposed by the library staff:

1. failure to respond to recall notices--written warning.

2. returning closed reserve materials more than eight hours late--10 weeks of censure.

Other violations and second offenses will call for a hearing by the ASC. Library circulation records and other records identifying the names of library users are confidential in nature. Such records will not be made available except pursuant to legal process, order or subpoena.

Borrowers who neglect to return library materials (including items borrowed from St. Olaf College or Interlibrary Loan), or who return materials in unsatisfactory condition, will be billed for replacement of the material and a processing fee. Students will be prohibited from registering for the following term until the lost or damaged material is returned or paid for.

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Last revised September 16, 2014

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For [Faculty](#), [Students](#)

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**Last Reviewed: Dec 1st, 2021**

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Maintained by Gould Library

## Major Field Requirements

A maximum of 78 credits can be required for a major, including the comprehensive examination/senior integrative exercise and required courses and their prerequisites offered by other departments.

The requirements for majors are outlined in the [Academic Catalog](#). Deviations from and substitutions for the stated requirements may be made by judgment of the appropriate authority. For established departmental majors, this authority resides with the department chair. For special majors, this authority resides with the major advisers and the Academic Standing Committee (ASC), which approves special majors.

For a course to count toward the major, a grade of C- or better must be earned; these courses cannot be taken on an elective S/Cr/NC basis. Departments may make exceptions for extra-departmental courses if appropriate.

See also [double major](#), [special majors](#), and [declaration of major](#).

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Last revised June 25, 2013

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For [Faculty](#), [Students](#)

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**Last Reviewed: Sep 9th, 2021**

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Maintained by Dean of the College Office

## Midterm Reports

see [Academic Progress Reports](#)

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For [Faculty](#), [Students](#)

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**Last Reviewed: Sep 9th, 2021**

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Maintained by Dean of the College Office

## Minors

The requirements for minors are outlined in the [Academic Catalog](#).

A minor represents either an integrated disciplinary or an interdisciplinary program of study. Disciplinary minors recognize the student's acquisition of in-depth knowledge of a single discipline; interdisciplinary minors recognize the completion of a program of study that links and integrates multiple academic disciplines.

A minor is an optional element of a student's academic program and is not required for graduation. Minors will therefore not be considered grounds for a thirteenth term or exceptions to academic regulations nor may a minor be completed out of residency.

A student can declare a minor at any time between the second week of their 6th term and the second week of their 10th

term at Carleton. Normally a student may not fulfill more than half the credits for a minor from the courses counted toward their major or majors and may not major and minor in the same discipline. For a course to count towards a minor, a grade of C- or better must be earned; these courses cannot be taken on an elective S/Cr/NC basis. Departments or programs may make exceptions if appropriate.

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Last revised August 10, 2017

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For [Faculty](#), [Students](#)

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**Last Reviewed: Sep 9th, 2021**

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Maintained by Dean of the College Office

## Music Lesson Fees

Refer to the current [Academic Catalog](#) for information on applied music fees. These fees will not be refunded if lessons are dropped after the one-week drop/add period.

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Last revised April 23, 2015

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For [Faculty](#), [Students](#)

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**Last Reviewed: Sep 9th, 2021**

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Maintained by Dean of the College Office

## Observance of Religious Holidays

Periodically major religious holidays intersect with key dates in Carleton's calendar (e.g., overlap of the first day of classes with Rosh Hashanah; confluence of Ramadan with finals), and there will be members of our community who will choose to observe these holidays. It is expected that students who will be engaging in these observances will inform the relevant faculty and staff in advance, in order to address any need to make up work or arrange other accommodations. Faculty and staff engaging in these observances should inform their department/supervisor in advance and follow the applicable time off request process. Staff should record work time missed as floating holiday or vacation time.

Questions about these practices may be directed to: Dean of the College Office (faculty), x4300

Dean of Students Office (students), x4075

Human Resources (staff), x7471

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Last revised August 1, 2018

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For [Faculty](#), [New Students](#), [Prospective Students](#), [Staff](#), [Students](#)

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**Last Reviewed: Oct 4th, 2021**

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Maintained by Office of the President

## Off-Campus Study

OCS website: <http://go.carleton.edu/ocs>

All students considering off-campus studies must work directly with the Office of Off-Campus Studies, Leighton 119, on all aspects of planning, applying, and confirming participation in any off-campus studies program.

First-year students are not permitted to study off-campus. College regulations for off-campus study are explained online at the OCS website.

### Off-Campus Studies Applications for Carleton Term Programs and Break Programs

Carleton offers a changing selection of term programs and winter or spring break programs every year. These programs offer a related group of courses designed and led by Carleton faculty for Carleton students, using the resources of a site

other than the Northfield campus. Students are selected by application two to three terms preceding the actual program. Students pay the Carleton comprehensive fee, which covers room, board, tuition, plus excursions and social events at the program site. Transportation to the site, books, and personal expenses are the responsibility of each student. Financial aid applies to these programs. A flyer for each program is available in Leighton 119, and more program information is on the OCS website. Applications are online and found at the [OCS website](#).

In addition, Carleton students may apply to the [Carleton Global Engagement](#) programs which are offered every fall. These programs are led by Carleton faculty and are open to both Carleton and non-Carleton students.

**Program Cancellation Policy:** Carleton College shall have the right, at its option and without liability, to make cancellations, changes, or substitutions in cases of emergency or changed conditions, or in the interest of the program.

### **Off-Campus Studies Application for Approval of Participation in Non-Carleton Programs**

Students interested in non-Carleton programs start their program search at the OCS website. Students are encouraged to discuss program ideas with an OCS Adviser and their academic adviser in order to find the best program that will further their educational goals. An OCS adviser can answer questions and help students understand different program structures, and direct them to other useful resources.

After students have found a suitable program, they apply directly to the program provider for acceptance to the program AND they must submit a Carleton Application for Approval. Students must receive approval from the OCS office prior to participation. The Application for Approval is found at the [OCS website](#).

Submission of the OCS Application for Approval commits the student to studying off campus for the designated term(s), *pending* acceptance into the program *and* approval of the OCS Application. Once the student submits the OCS forms, the student is not eligible for registration or room draw for the term designated for off-campus study.

Students are encouraged to learn more about off-campus study opportunities and review information about specific programs by visiting the Off-Campus Studies office in Leighton 119 and by visiting its website.

### **Deadlines**

Deadlines for programs and applications are published on the OCS website. Students may also contact the Office of Off-Campus Studies with questions regarding programs and applications by calling ext. 4181 or e-mailing Fabia Calabresi Dennison, [jmcmurray@carleton.edu](mailto:jmcmurray@carleton.edu).

Late Application for Approval will not be considered. Withdrawal from a Carleton program after signing a letter of commitment has financial consequences. Refer to the OCS website for details about Carleton's policies concerning missed deadlines or canceled participation.

### **Credits**

A student may apply a maximum of 54 credits earned on off-campus non-Carleton programs to the total number of credits required for graduation (one full year of study). Total number of credits awarded for a non-Carleton program may not exceed 22 credits for a 10-week term, 28 credits for a 15-week semester, 14 credits for a summer, and 54 credits for a full academic year. Programs of other lengths may be awarded other credits by the Registrar. Students considering a spring semester non-Carleton program must meet with their academic adviser, Student Financial Services, and an OCS adviser to discuss the credit and financial aid implications of spring semester programs. Students must be registered for the minimum equivalent of 12 Carleton credits on any off-campus program. Credit overloads are not permitted on any off-campus study program.

Carleton off-campus study program credits are considered Carleton credits and do not count toward the 54-credit off-campus credit limit. They do count toward the College residency requirement.

Transfer students must earn a minimum of 108 credits on campus, including the senior integrative exercise, toward their Carleton degree and must be in residence for a minimum of six terms.

Credit for participation in an off-campus study program will be recorded at Carleton *only after* the Registrar has received an official transcript from the student's program of study. A student's registration for upcoming terms may be held pending receipt of this official transcript.

Whether or not a student needs these OCS credits to complete course requirements, the Registrar must receive official transcripts documenting completion of all non-Carleton OCS programs in order to clear a senior for graduation. If these are

not received in time for commencement, an asterisk will be placed next to the student's name on the commencement program.

### **Approval of credits toward major, minor, or liberal arts requirements**

Students must submit an [Approval for Special Credits for Off-Campus Studies](#) form (available in the Office of Off-Campus Studies, in the Office of the Registrar, and on the Registrar's website), to the Registrar, upon approval of the appropriate department, for credits earned on non-Carleton off-campus study programs.

### **Grade Point Average**

All grades earned on approved off-campus study programs appear on a student's Carleton transcript. Only Carleton off-campus program grades are counted in the Carleton GPA.

### **Required Leave of Absence**

Students participating in a Carleton summer program, (e.g., Carleton Economics Seminar in Cambridge, Irish Studies in Ireland, Art Now in Europe, History of Computing in England) will be required to take a leave of absence one term (typically winter) during the following academic year. In the case of non-Carleton summer programs, no leave of absence is required, and credits earned during the summer are received as additional credit if approved in advance.

### **Registration**

Upon acceptance into a Carleton off-campus program, participating students must register with the Office of the Registrar in the same way they would for any other Carleton term.

Students participating in non-Carleton off-campus programs are not eligible to register for the term designated for off-campus study.

### **Fees and Financial Aid**

Students participating in non-Carleton off-campus study programs pay a \$500 administrative fee. The fee will be charged to the student's Carleton account after the Off-Campus Studies Application for Participation has been approved.

Financial aid applies to one non-Carleton off-campus study program approved by the College. Students should contact the Office of Student Financial Services and the Business Office about billing procedures. The OCS and SFS Budget Worksheet and Scholarship and Loan Information is found on the [Student Financial Services website](#).

Students must be enrolled full time to receive financial aid for off-campus study (15 credits for Minnesota State Grant Recipients and at least 12 credits for other financial aid recipients).

If students receive other scholarships or travel grants for off-campus studies, they must report those to the Office of Student Financial Services before departure.

See also [Credit Maximum and Minimum](#), [Credit Unit](#), [Declaration of Major](#), [Drop/Add](#), [Grade Point Average](#), [Leave of Absence](#), [Senior Residency](#), [Summer Independent Study](#), and [Summer Study at Other Institutions](#).

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Last revised November 8, 2018

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For [Faculty](#), [Students](#)

**Last Reviewed: Apr 29th, 2022**

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Maintained by Off-Campus Studies

## **Petitions**

A petition is used for making a request for an exception to an academic policy to the Academic Standing Committee (ASC). In petitioning the ASC, care should be taken to provide all relevant information in unambiguous detail so that the committee will be fully informed. Should a student submit a petition for an exception to college policy, it does not necessarily follow that it will be approved.

While not intending to limit students' access to the petition process, the ASC wishes to inform students that because of its concern that academic policies be administered equitably, it is unlikely that petitions will be granted for exception to

regulations concerning late S/Cr/NC change and underloads.

A student intending to submit a petition should read all applicable sections of this document and the supplementary material provided with the petition forms before attempting to write a petition.

Forms for petitioning the ASC for matters relating to registration changes and deadlines are available on the [ASC website](#). The petition process for acceleration of graduation/waiver of senior residency is described under [Graduation Requirements](#).

Forms are available from the [Office of the Dean of Students](#) for the following:

- Leave of Absence
- Withdrawal
- Withdrawal/Term Amnesty

See also [graduation requirements](#) and [off-campus study](#) for other forms.

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Last revised September 9, 2021

For [Faculty](#), [Students](#)

**Last Reviewed: Sep 9th, 2021**

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Maintained by Dean of the College Office

## Phi Beta Kappa

Phi Beta Kappa is a national honor society, founded in 1776 at the College of William and Mary, with chapters at many leading colleges and universities. The motto of the society, derived from the three Greek letters, is "Love of learning is the guide of life." Phi Beta Kappa celebrates and advocates excellence in the liberal arts and sciences. Its campus chapters invite for induction the most outstanding arts and sciences students at America's leading colleges and universities.

In the past, students were elected to the Carleton chapter (Beta of Minnesota) by current faculty and staff members strictly on the basis of their cumulative GPA at the beginning of spring term, typically of their senior year. A smaller number of exceptionally qualified students are elected as juniors. The chapter consults with the Dean of Students office to make sure we are in keeping with the society's stipulation that invitation should be extended only to persons of "good moral character."

The society also urges that chapters give weight to breadth and depth of study in the liberal arts and sciences, "taking into account the number, variety, and level of courses taken outside the requirements of the major." Therefore, we will remove from consideration any student who has completed fewer than four of the six "Curricular Exploration" requirements with graded courses at the time of consideration. If a student takes both graded and S/CR/NC courses that would fully satisfy the same requirement, that student will remain eligible for Phi Beta Kappa, because the requirement will be understood to have been satisfied by the graded coursework.

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Last revised January 30, 2013

For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Physical Education Requirement

Four terms of physical education are required for graduation. A student may only receive credit toward graduation in one physical education course per term. It is strongly recommended that students complete this requirement before the beginning of their senior year.

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Last revised June 25, 2013

For [Faculty](#), [Students](#)

**Last Reviewed: Sep 9th, 2021**

## Prerequisites for Courses

Some courses require that a student attain a particular level of experience or have a specific academic background in order to be successful in that course. The following terms and definitions will assist both faculty and students in stating and understanding these expectations. Students are urged to consider their preparation before registering for classes with prerequisites.

A **prerequisite** is a requirement that the student must fulfill prior to beginning the course for which it is a prerequisite. Only in exceptional cases will prerequisites be waived by the instructor or the department. A student must earn a C-, S, S\* or better to be eligible for the next course.

A **recommended course** is one that students are strongly urged to have completed prior to beginning another course. Recommended courses are not required and the decision to take a course without having taken the recommended course lies with the student.

**Permission of the instructor** signals that the prerequisites are too complex to be stated briefly in the [Academic Catalog](#) or registration schedule. This is appended to a course description whenever an instructor and the department foresee the need for the instructor to judge whether the student is eligible for enrollment. Students should consult with the instructor before enrolling in the course.

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For [Faculty](#), [Students](#)

**Last Reviewed: Sep 9th, 2021**

## Proxy Registration

Students who are off-campus and who will not have internet access during registration must make arrangements to have a proxy register for them via the following paper process: The proxy meets with the off-campus student's adviser to agree upon a proposed list of courses; the adviser signs a sheet of paper (no special form required) on which these proposed courses are listed; and the proxy brings this sheet to the Registrar's Office during normal business hours, 8-5 on the day of the student's registration priority to register. Proxy registration can also take place 8-5 any day after the student's priority day through 4 p.m. the last day of classes of the term preceding the term of registration.

See also [off-campus study](#) and [registration](#).

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Last revised November 7, 2018

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For [Faculty](#), [Students](#)

**Last Reviewed: Sep 9th, 2021**

## Reading Days

Reading Days provide time for significant review and study before the start of final examinations. The guidelines for Reading Days are intended to promote an academic value that is parallel to a scheduled class day. Reading Days are intended to be "unscheduled" to provide time for students to pursue academic work which is most appropriate for them.

The following are considered appropriate activities for students on Reading Days:

1. Reading and review of course material in preparation for the final examination.
2. Work on a term paper or project that is being done in lieu of taking a final exam. (See examinations.)
3. Work begun prior to Reading Days to be turned in during finals as the final project, i.e., a take-home final. (See examinations for rules on take-home finals.)
4. For laboratory courses, an informal equipment "check-in" session may be scheduled at convenient times.



College policy regarding examinations and take-home final examinations remains as stated elsewhere in this handbook.

The following are not appropriate activities for Reading Days:

1. Formal class meetings.
2. Exams.
3. Having written assignments due.
4. Required review sessions.
5. Additional reading assignments.

In addition, there should be no required college committee meetings or Carleton scheduled required extracurricular events.

See also [examinations](#) and [end of term deadlines](#).

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For [Faculty](#), [Students](#)

**Last Reviewed: Sep 9th, 2021**

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Maintained by Dean of the College Office

## Readmission

Former students, wishing to apply for readmission, do not need to reapply formally through the Admissions Office. They should write to the Office of the Dean of Students, giving some indication of what they have been doing while away from campus and the date they wish to return. Students who were subject to academic review when they left petition the Academic Standing Committee (ASC), and if readmitted are usually placed on academic review for the first term after they return. Students are typically held to graduation requirements in place at the time of return. Once determined to be readmissible, students are placed on a space-if-available list until such time as the College's limited enrollment will permit their return. Financial aid will be reinstated or awarded to eligible students upon re-enrollment.

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For [Faculty](#), [Students](#)

**Last Reviewed: Sep 9th, 2021**

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Maintained by Dean of the College Office

## Records of Academic Work

The Registrar's Office maintains a computerized transcript for each student on which is recorded the courses in which a student enrolled, grades, credits accrued, etc. This is the official record of a student's academic work and as an educational record is subject to the provisions of the Family Educational Rights and Privacy Act of 1974 as amended. For more information about this and other student records maintained by the College, see the [Student Handbook](#).

See also [transcripts](#).

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Last revised July 16, 2014

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For [Faculty](#), [Students](#)

**Last Reviewed: Sep 9th, 2021**

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Maintained by Dean of the College Office

## Registration

This section is offered as a summary of registration procedures and is subject to change. Detailed information on the registration process as well as on basic registration policies is available online via the Registration link on the [Registrar's homepage](#).

Fall term registration for new students will be conducted during the summer. This is the first opportunity for new students to register. Most returning students will have registered in May.

Registration for winter and spring terms, as well as for fall term of the following year, will typically be conducted over a two-week period during the latter part of each term. Failure to register for or to attend classes by the end of the first week of the following term will be regarded as withdrawal from the College. You are required to discuss your registration with your adviser prior to registration.

If any part of a student's account in the Business Office is delinquent, the student will not be permitted to register unless arrangements are made to settle this account with the Business Office. Registration may also be held by the Registrar, Office of the Dean of Students, The Wellness Center, the Writing Program, and the Academic Standing Committee. When all holds are settled, the student will be permitted to proceed. The earliest time to register will be as specified in the "Schedule of Classes." A student may register at a later time than scheduled, within published deadlines.

All of these steps must also be taken by proxy registrants in order to complete a registration by proxy. (See [proxy registration](#).)

Drop/Add changes can be made on the Hub through the 10 week course drop/add deadline. After the drop/add deadline, late drop, S/CR/NC, and Independent Study/Research/Reading forms are available as online forms on the Registrar's website.

Students will register for physical education courses the same way they do for other courses.

Priority for registration is in order of class year. Priority within class year will be determined by a program designed for random selection.

"Sophomore Priority" in the schedule means students will be allowed to register for a course in the following order: sophomores, first-year students, seniors, juniors. A senior or junior wanting to register for such a course should waitlist for the upperclass waitlist (WL) section only. They may then register for the course if space is available upon receipt of permission from the Registrar's Office. A junior or senior who needs a particular sophomore priority course for graduation *should talk with their adviser*.

### **Sophomore Priority Courses for 2021-22:**

#### **Fall**

AMST.115.00	Introduction to American Stds
ARTS.110.01	Observational Drawing
ARTS.110.02	Observational Drawing
ARTS.110.03	Observational Drawing
ARTS.122.01	Introduction to Sculpture
ARTS.130.01	Ceramics
ARTS.139.00	Beginning Photography
ARTS.151.01	Metalsmithing
BIOL.125.53	Gen,Evol&Dvlpmt Prb Slvng&Lab
BIOL.125.54	Gen,Evol&Dvlpmt Prb Slvng&Lab

BIOL.125.59 Gen,Evol&Dvlpmt Prb Slvng&Lab

CAMS.110.00 Intro to Cinema & Media Stds

CAMS.111.01 Digital Foundations

CAMS.111.02 Digital Foundations

CS.111.01 Intro to Computer Science

CS.111.03 Intro to Computer Science

CS.201.01 Data Structures

EDUC.110.00 Intro to Educational Studies

ENGL.160.00 Intro to Creative Writing

ENTS.120.51 Intro Geospatial Analysis&Lab

ENTS.120.52 Intro Geospatial Analysis&Lab

FREN.210.00 Coffee and News

GEOL.110.51 Introduction to Geology & Lab

GEOL.110.52 Introduction to Geology & Lab

GEOL.125.52 Intro to Field Geology & Lab

GEOL.135.53 Intro Climate Science & Lab

GEOL.135.54 Intro Climate Science & Lab

GEOL.220.53 Tectonics & Lab

GWSS.110.00 Intro to GWSS

POSC.120.00 Democracy and Dictatorship

SOAN.110.00 Introduction to Anthropology

SOAN.111.00 Introduction to Sociology

THEA.110.00 Beginning Acting

**Winter**

ARTS.110.01 Observational Drawing

ARTS.122.01 Introduction to Sculpture

ARTS.130.01 Ceramics

ARTS.139.01 Beginning Photography

ARTS.151.01 Metalsmithing

BIOL.101.00 Human Reproduction & Sexuality

BIOL.125.52 Genes, Evol & Developmnt & Lab

BIOL.125.53 Genes, Evol & Developmnt & Lab

BIOL.125.57 Genes, Evol & Developmnt & Lab

BIOL.125.59 Genes, Evol & Developmnt & Lab

BIOL.126.52 Energy Flow Biol System & Lab

BIOL.126.53 Energy Flow Biol System & Lab

BIOL.126.54 Energy Flow Biol System & Lab

BIOL.210.00 Global Change Biology

CAMS.110.00 Intro to Cinema & Media Stds

CAMS.111.01 Digital Foundations

CAMS.111.02 Digital Foundations

CS.111.02 Intro to Computer Science

CS.111.03 Intro to Computer Science

CS.201.01 Data Structures

EDUC.110.00 Intro to Educational Studies

ENGL.160.00 Intro to Creative Writing

FREN.210.00 Coffee and News

GEOL.130.54 Geology of National Parks & Lab

GWSS.110.00 Intro to GWSS

MATH.236.00 Mathematical Structures

PHIL.289.01 Death, Dinner and Discussion

POSC.120.00 Democracy and Dictatorship

SOAN.110.00 Introduction to Anthropology

SOAN.111.00 Introduction to Sociology

SOAN.151.00 Global MN:Anthro of Our State

SOAN.233.00 Anthropology of Food

STAT.120.01 Introduction to Statistics

STAT.120.03 Introduction to Statistics

THEA.110.00 Beginning Acting

### **Spring**

AMST.115.00 Introduction to American Studs

ARCN.246.52 Archaeological Methods & Lab

ARTS.113.01 Field Drawing

ARTS.113.02 Field Drawing

ARTS.139.01 Beginning Photography

BIOL.126.52 Energy Flow Biol System & Lab

BIOL.126.53 Energy Flow Biol System & Lab

BIOL.126.54 Energy Flow Biol System & Lab

BIOL.126.59 Energy Flow Biol System & Lab

BIOL.240.00 Genetics

BIOL.241.01 Genetics Laboratory

BIOL.241.02 Genetics Laboratory

BIOL.241.03 Genetics Laboratory

CAMS.111.01 Digital Foundations

CAMS.111.02 Digital Foundations

CS.111.02 Intro to Computer Science

CS.111.03 Intro to Computer Science

CS.201.01 Data Structures

EDUC.110.00 Intro to Educational Studies

ENTS.110.00 Environment and Society

FREN.210.00 Coffee and News

GEOL.110.53 Introduction to Geology & Lab

LING.110.00 Introduction to Linguistics

LING.115.00 Intro to the Theory of Syntax

MATH.236.01 Mathematical Structures

MATH.295.00 Mathematics of Climate

PHIL.123.00 Topics in Medical Ethics

POSC.120.00 Democracy and Dictatorship

SOAN.110.00 Introduction to Anthropology

SOAN.111.00 Introduction to Sociology

STAT.120.01 Introduction to Statistics

STAT.120.02 Introduction to Statistics

STAT.230.00 Applied Regression Analysis

THEA.185.02 The Speaking Voice

Wait lists are formed after a class section fills (i.e., closes). Wait lists provide priority information for accepting students into a class if space becomes available. Waitlisted students should check with the instructor to determine if they may be permitted to enroll in a class; the instructor will inform the Registrar's Office of any such permissions. The Registrar's Office will then notify the student via email, informing the student that they have one day to register for the course; it is *the student's responsibility to register for the course* via the Hub.

Any student who fails to attend the first two classes in a course for which there is a wait list and who has not otherwise contacted the faculty member **by the end of the second class** to confirm enrollment will be officially dropped from the course if a signed request from the instructor is received by the registrar before the end of the first week of classes.

See also [academic load](#), [class attendance](#), [drop/add](#), [proxy registration](#), and [registration changes](#).

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For [Faculty](#), [Students](#)

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Maintained by Dean of the College Office

## Registration Changes

It is a student's responsibility to carefully check their online class schedule and correct errors prior to published drop/add deadlines.

Changes in registration are further defined and explained within this handbook in the following order:

- [Change of Course Level](#)
- [Change of Section](#)
- [Credit Maximum and Minimum](#)
- [Drop/Add](#)

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## Residency

All students, including transfer students, are expected to spend a minimum of two years on campus, one of which must be the senior year or last three academic terms. Students requesting approval of non-Carleton off-campus study or leave of absence for any part of the senior year may be denied approval if major department programs require their presence on campus.

See also [academic progress](#) and [off-campus study](#)

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## Retaking Courses

A student may retake a course when the prior attempt appears to have produced insufficient mastery of the subject matter (D+, D, D-, F, Cr, or NC). Courses with the same department and number will post as "retaken" automatically by the computer program. Students wishing to retake a course offered previously under a different department/number must petition the Academic Standing Committee using a retake form in the Registrar's Office. Independent Study/Reading/Research (290-292 and 390-392) may not be used to repeat independent studies. Independent studies may only be used to repeat regular courses if the student needs the specific course to graduate and has the approval of the ASC.

Grade points and credits earned in the original attempt will be replaced by those earned in the second attempt in the cumulative GPA, even when fewer or none are earned in the second attempt. Additional academic credit will be obtained only when none was earned in the first attempt. Thus, when repeating a course in which a passing grade was received, the second grade is figured into the cumulative GPA, and only the credits associated with that attempt count toward the career total; this also means that an "F" grade in the last attempt will have the effect of canceling any prior degree credits for this course. The record of the first attempt (with grade) remains on the academic transcript with the notation "retaken."

Some courses can be repeated for additional credit. Courses like these cannot be retaken to remove a prior attempt from GPA calculations.

No student shall be permitted to retake a course when a course on a more advanced level involving mastery of material covered in the lower course has subsequently been completed. If a student feels that individual circumstances warrant such a retake, the Academic Standing Committee (ASC) may be petitioned for permission to do so. The petition must be supported by the chair of the department concerned and by the student's adviser.

Courses may not be retaken S/Cr/NC unless they were originally given only on a S/Cr/NC basis.

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For [Faculty](#), [Students](#)

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## Satisfactory Academic Progress

Satisfactory Academic Progress (SAP) is a requirement for all Carleton students. Federal regulations require all schools participating in state and federal aid programs to monitor SAP; to be eligible for federal, state, and institutional aid, students are required to maintain satisfactory academic progress toward their degree. Carleton expects all students to maintain an acceptable level of academic progress; therefore, this policy applies to all matriculated students.

### Measurements of Satisfactory Academic Progress

Satisfactory Academic Progress is measured both quantitatively and qualitatively at the end of each academic term to ensure students are making satisfactory progress toward the degree. Carleton considers academic progress slightly differently than it considers financial aid; therefore it is important to know that students may still be financially responsible for courses or terms that were not completed (i.e. courses recorded with DRP) or courses the student did not pass. After the one-week drop/add deadline, a late drop results in a grade notation of "DRP" on the transcript and is identified as "course dropped after the normal drop/add period without penalty." Carleton does not use withdrawal-passing or withdrawal-failing notations.

When calculating aid eligibility, all enrolled terms must be considered in determination of Satisfactory Academic Progress, including enrolled terms for which the student did not receive course credit(s). This includes medical leaves of absence when begun during a term. When calculating academic eligibility, all full-time terms must be considered in determination of Satisfactory Academic Progress, including enrolled terms for which the student did not receive aid.

Students are required to pass enough credits (quantitative measure), maintain a minimum GPA (qualitative measure), and



complete their programs within a maximum time frame to be considered making satisfactory progress toward their degree. Students must meet the following standards to maintain satisfactory academic progress:

1. Qualitative (Grade Point Average) - All students are required to meet the minimum cumulative and term grade point averages (GPA) shown on the chart below. A normal rate of progress is considered to be 17 or 18 credits per term, although it is understood that occasionally a lighter load may be appropriate because certain courses or terms may prove to be especially difficult. To earn the 210 credits required for graduation, students must average 17 or 18 credits per term in each of the 12 terms allotted them.
2. Quantitative (Pace - Cumulative Overall Progress) - All courses, whether or not they are successfully completed, count in calculating a student's academic progress for aid eligibility purposes; this includes individual courses for which a student received a DRP and medical leaves, which generally result in an entire term's courses being recorded with a DRP. For the purposes of end-of-term Academic Review and counting academic terms in attendance *only*, medical leaves will not be taken into consideration. Any student who fails to register for a minimum of twelve credits and attend classes prior to the end of the first week of the term may be withdrawn from the College.

All students are required to meet the minimum earned credits shown on the chart below.

Terms in Residence	Minimum Earned Credits	Minimum GPA	Terms in Residence	Minimum Earned Credits	Minimum GPA	Terms in Residence	Minimum Earned Credits	Minimum GPA	Terms in Residence	Minimum Earned Credits	Minimum GPA
1	12	1.8	4	60	2.0	7	117	2.0	10	168	2.0
2	24	1.8	5	78	2.0	8	132	2.0	11	188	2.0
3	42	1.8	6	96	2.0	9	150	2.0	12	210	2.0

Earning a D+, D, D-, F, CR, or NC can jeopardize cumulative overall progress; therefore students earning these grades will be evaluated for qualitative and quantitative progress, even if the receipt of these grades does not lower the GPA or credits earned to below the minimum threshold.

Registration errors which result in grades of F may only be corrected through successful student petition to the ASC.

Carleton College does not offer noncredit remedial courses.

### Retaken Courses

In the cases of a retaken course, both the original course and the retaken course will count as attempted credits; however, only the retake will count in the student's GPA and be considered when considering SAP for the current term. Grade points and credits earned in the original attempt will be replaced by those earned in the second attempt in the cumulative GPA, even when fewer or none are earned in the second attempt. Additional academic credit will be obtained only when none was earned in the first attempt.

### Monitoring Satisfactory Academic Progress

Satisfactory Academic Progress is monitored at the end of each term during Academic Review, held by the Academic Standing Committee, who determine whether students who do not meet SAP conditions will be placed on academic review. In all cases, the committee considers individual circumstances in deciding upon the review status of the student. All students are subject to academic review.

Academic Review consists of the following categories:

- No Action: The student is deficient in some qualitative or quantitative measure but the deficiency is considered to have no impact on the student's satisfactory academic progress.
- Letter of Concern: The student is deficient in some qualitative and/or quantitative measure (e.g., low grades, loss of credits, decline in grade point average, problems in the major, etc.) and is contacted by the Academic Standing Committee regarding the deficiency. There are no conditions placed on the student regarding their future

performance, but the student's academic adviser is informed and the student's record will be reviewed in the subsequent term regardless of that term's performance. Students are also asked to speak with their Class Dean regarding the deficiency. This is considered a financial aid warning.

- **Academic Review:** The student is deficient in some qualitative and/or quantitative measure (e.g., low grades, loss of credits, decline in grade point average, problems in the major, etc.) and is contacted by the Academic Standing Committee regarding the deficiency. There are both quantitative and qualitative conditions placed on the student regarding their future performance (e.g., take and pass 18 credits, grades of C or better, prepare and follow an academic plan, attend class regularly, earn summer school credits, etc.), the student's academic adviser is informed, and the student's record will be reviewed in the subsequent term. If the student meets the conditions of their review, they are normally taken off review and resume regular status. If the student does not meet review conditions, they may remain on review, be suspended from the College or, in some rare cases, be dismissed from the College. This is considered financial aid probation.
- **Suspension:** Students who have demonstrated a repeated inability to maintain required quantitative or qualitative progress, or whose record indicates a precipitous decline regardless of their overall record, may be suspended from the College. Suspended students must ordinarily spend two terms away from the College to address the issues that have been impeding their academic performance, and may petition the Academic Standing Committee for readmission. Students are readmitted from suspension on academic review.
- **Dismissal:** A student not maintaining a level of progress toward the degree at the minimal rate may be dismissed from the College.

Note: Financial aid corresponds to the student's enrollment status and continues for eligible students as long as they are enrolled in most cases. When a student is suspended or dismissed from the College, financial aid is discontinued. Aid is reinstated or awarded to eligible students upon re-enrollment.

Students who received a Letter of Concern or beyond will have their records reviewed in the subsequent term. At the end of the next term, the committee may take a student off review status, send a letter of continued concern, or place/continue the student on review. If the student's record has remained at an unacceptable level or has deteriorated, or demonstrates a precipitous decline, or if the student has not met the requirements set by the committee, or if it is apparent that the student will not be able to fulfill the requirements of a major or graduation within the terms remaining, the committee may suspend or dismiss the student from the College.

## **Appeals**

In general, being placed on review is not subject to appeal. The only cases where students may appeal their review status is when their enrollment has been suspended or revoked. For an appeal to be considered it must be received no later than 7 days after the student has been notified of their review status. The appeal will be reviewed by the Academic Standing Committee.

## **Grade Changes and Extensions**

Once a grade has been reported it becomes part of the student's permanent record and can be changed only by the faculty member and with the approval of the Academic Standing Committee (ASC). Registration errors which result in grades of F may only be corrected through successful student petition to the ASC.

If a grade is not submitted by the grade submission deadline, the Registrar's Office will assign a grade of X and the faculty member will need to follow the grade change process to update the student's grade. Work may extend beyond the end of the exam schedule only if an "EXT" (extension granted) has been approved by an associate dean of students or an associate dean of the college. If students do not complete course work by the end of the extension period, faculty should submit the grade a student would have earned at the time the EXT was granted.

## **Courses Taken in Summer**

Carleton-led summer off-campus study (OCS) programs follow the same standards and policies as on-campus courses taken during the regular academic year and are counted as an academic term in residence. If a student takes a summer off-campus study program, they must take a required leave of absence during the subsequent academic year, most often during winter term. Students may petition the Academic Standing Committee to request that their leave be taken during the fall or spring term, though these petitions are usually only granted in cases of legitimate scheduling conflicts. Required leaves must be taken during the same academic year as the summer OCS program.

## Transfer Credits

Courses transferred to Carleton, including non-Carleton OCS programs, do not count in the student's GPA, but will be used toward graduation and the student's quantitative progress toward degree. Transfer students will be matriculated into the appropriate "term" according to the credits that are approved to transfer and will be expected to maintain satisfactory academic progress according to the chart above upon enrollment.

For transfer students, a maximum of 102 credits may be transferred and applied to the requirements of the Carleton degree. Grades for transferred courses are not posted on the Carleton transcript. Students must spend at least two years (six terms) in residence, including the senior year (last three terms).

## Maximum Time Frame to Complete the Program

Satisfactory Academic Progress includes a maximum time frame component that specifies that students may not receive federal aid in excess of 150% of the credit hours required to complete the degree. Carleton requires a minimum of 210 credits for graduation, and normally students are expected to fulfill all graduation requirements in four years or the equivalent of twelve academic terms. No additional time is granted for changes to the major or to complete requirements beyond the minimum graduation requirements; no additional time will be awarded for a student to complete two majors, nor may a student complete a second major out of residence. Under special circumstances, if additional time is necessary for a student to complete minimal degree requirements, an extension of student status beyond 12 terms may be granted by the Academic Standing Committee (ASC). The Committee may also authorize the extension of financial aid to eligible students at the same time. Generally, no more than 13 terms of enrollment will be authorized.

For most students, the maximum is considered to be 315 awarded credits and 12 terms (4 years) of enrollment. In all cases, the ASC determines which students are required to return to Carleton to complete their degree and which students are required to complete their work elsewhere. Normally, the student who begins his or her 12th and final term at Carleton without being theoretically able to complete the degree should be prepared to complete the remaining work at another institution following the current regulation for transfer of credit.

See also [withdrawal/term amnesty](#).

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For [Faculty](#), [Students](#)

**Last Reviewed: Sep 9th, 2021**

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Maintained by Dean of the College Office

## Satisfactory/Credit/No Credit (S/Cr/NC or "scrunch" option)

In order to encourage exploration into unfamiliar, risky areas of the curriculum, Carleton offers students the option to take courses under the S/Cr/NC option. S/Cr/NC grades have no grade point value and do not count toward student GPA. A continuing student may elect to take up to six credits per term on a S/Cr/NC basis with a maximum total of 30 such credits being allowed during the student's four years at Carleton. The limits of six and 30 credits do not include mandatory S/Cr/NC courses. The grade of S means the equivalent of at least C- work; Cr means D+, D, or D- work; NC means F work.

Students may declare up to six credits per term as elective S/Cr/NC by completing and submitting a S/Cr/NC form, which is available from the Registrar's Office website. The form requires both the student's and the instructor's approval and must be completed and received by 5:00 p.m. on the seventh Friday of the term for ten-week courses, the third Friday of the term for first five-week courses, and the eighth Friday of the term for second five-week courses.

Note that for a course to count toward the major or the minor, it cannot be taken on an elective S/Cr/NC basis. Departments may make exceptions for extra-departmental courses if appropriate. Courses taken to fulfill specific college graduation requirements (e.g., liberal arts requirements and writing and language proficiency) must be passed with a grade of S or C- or better.

Students considering a S/Cr/NC option should discuss the choice with their advisers. Those contemplating graduate school should be aware that some graduate schools compute S (satisfactory) grades into a GPA as the lowest possible letter grade they might represent and some schools compute NC (no-credit) grades as F grades; some graduate schools look askance at more than a few ungraded courses on a transcript. The Academic Standing Committee (ASC) will not consider petitions to change a grade to or from the S/Cr/NC option.

Courses may not be retaken S/Cr/NC unless they were originally given only on a S/Cr/NC basis.

If the professor wishes to grade all students on a S/Cr/NC basis, prior approval of the Associate Dean of the College is required. An independent study may be graded on a S/Cr/NC basis at the option of the student or the instructor; in the latter case, the credits are not charged toward the 30-credit maximum. The grading method for such a course must be designated on the independent study form, signed by the instructor.

The registrar cannot verify the exact letter grade represented by "S."

See also [concentrations](#), [drop/add](#), [major field requirements](#), [minors](#), and [Phi Beta Kappa](#).

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Last revised September 9, 2021

For [Faculty](#), [Students](#)

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**Last Reviewed: Sep 9th, 2021**

Maintained by Dean of the College Office

## Senior Integrative Exercise (Comps)

The College requires that each major include a capstone experience. It is the prerogative of individual departments and programs that offer majors to determine how many credits to award in connection with its senior capstone experience, within the following parameters:

1. All departments and programs offering a major shall have at least one capstone course numbered 400, which is graded Satisfactory (S) or No Credit (NC). When 400 is passed with distinction, a note to that effect is posted to the transcript.
2. The senior integrative exercise as a whole (400 plus any additional required work related to the senior capstone experience) shall be no fewer than three credits and no more than 15 credits.
3. Courses associated with the senior integrative exercise (400 plus any additional required work) cannot be dropped after the drop/add period for the current term and may only be dropped if the student no longer plans to pursue that major (in the case of a double major) or when minor administrative adjustments must be made, e.g. changing the number of credits recorded for 400 during the drop/add period, or in the case of a medical leave of absence for that term.
4. The senior integrative exercise must require no more than three credits of work during the final term of the senior year.
5. The senior integrative exercise must require no more than 12 credits of work within a single term.
6. The maximum of 15 credits is exclusive of other work (e.g., independent study or off-campus study) that may be related to, but not required for, a student's senior capstone project.
7. Students are expected to register for work related to the senior integrative exercise in the terms in which that work is undertaken.
8. All work required for the senior integrative exercise should normally be completed before the Monday following the seventh Friday of spring term of the senior year.
9. If the senior integrative exercise extends over more than one term, normally students shall receive a grade at the conclusion of each term for work completed to that point or, in the absence of a formal grade, students shall receive feedback on their work to that point.

See also [double major](#).

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Last revised November 5, 2018

For [Faculty](#), [Students](#)

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**Last Reviewed: Sep 9th, 2021**

Maintained by Dean of the College Office

## Special Major

A student seeking a major not offered in the College's established curriculum may propose a self-designed Special Major for approval by the [Academic Standing Committee \(ASC\)](#). The ASC expects any such petitions to be filed during the sixth term of one's academic career. All special majors involve close consultation with two faculty advisers. Normally special majors combine the elements of two disciplines. If the selection of courses from one of the disciplines differs from a standard major by only two or three courses, the special major is not allowed. Off-campus credit will not be allowed to contribute toward completion of a special major if there is only one Carleton professor on staff in the proposed area of study. Generally, no more than 18 off-campus credits are allowed for the special major. Students requesting to have both a regular major and a special major should understand that typically no course overlap is allowed between the two proposed courses of study. Double special majors will not be approved.

Students who are thinking about designing a major should talk with others who have designed their own majors, discuss their plans with faculty members familiar with the relevant fields of study, and consult with an associate dean of students. [Forms](#) for petitioning for a special major can be obtained from the ASC website. Special major programs must include at least three courses at the 300-level or equivalent in addition to the senior integrative exercise, no more than three courses at the 100-level or equivalent, and no more than two independent studies. At least one course addressing methodology or theory must be included in the major program; if such a course is unavailable in the appropriate department, then method/theory of the field must be an explicit part of the senior integrative exercise process. A student's grade-point average is a factor which the ASC will consider during its deliberations; the ASC views GPA as one indicator of a student's ability to think and work independently, an ability which would be further tested by the independent nature of the special major comps process. Once the ASC has approved a special major, modifications to the program must be approved by the ASC.

A grade of C- or better is necessary in all courses counting toward the special major; these courses cannot be taken on a S/Cr/NC basis.

See also [major field requirements](#).

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Last revised July 16, 2014

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For [Faculty](#), [Students](#)

**Last Reviewed: Sep 9th, 2021**

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Maintained by Dean of the College Office

## Special Students

A person enrolled in a course or courses but not admitted by the admissions office and not following a degree program is designated a "special student."

Special students (only senior Northfield High School Honors Program students, College employees, spouses or domestic partners of faculty/staff members, Language Assistants, Exchange Students, and alumni who graduated at least 5 years ago) must secure permission of the Registrar and register with the Office of the Registrar *after* fully matriculated students have registered, during the first week of the term. The signature and permission of the instructor should be obtained before the registrar has checked the class list for available spaces in the course. Full-time students on waitlists always receive priority over any special student.

Most special students pay the same tuition per credit as all current undergraduates, unless they are granted partial or full tuition remission through the College's benefit program. All special students must pay for any special course fees. Carleton alumni who graduated at least 5 years ago may enroll for credit in one course per term at the alumni rate of one-sixth course tuition. Special students are not eligible for financial aid or for independent study.

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Last revised May 31, 2018

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For [Faculty](#), [Students](#)

**Last Reviewed: Sep 9th, 2021**

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Maintained by Business Office

## Spring Break Credit

The Education and Curriculum Committee affirms that spring break is not a time to allow academic credit, but that the

Academic Standing Committee (ASC) has the power to grant minimal academic credit for work done during the break under extraordinary circumstances. The circumstances under question must be beyond the student's control. Spring break independent study work must be completed and submitted no later than the first day of spring term.

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For [Faculty](#), [Students](#)

**Last Reviewed: Sep 9th, 2021**

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Maintained by Dean of the College Office

## St. Olaf Courses

A cooperative arrangement between St. Olaf and Carleton permits some inter-registration. A maximum of one course per semester may be taken at St. Olaf when an equivalent course is not offered at Carleton. Carleton students may not register for a St. Olaf interim or summer course. In addition, independent study is not an option under the inter-registration agreement.

Carleton students registering for these courses should observe the St. Olaf drop/add deadlines published on the St. Olaf Registrar's website and note that they are subject to a fee for late or incorrect inter-registrations.

Registration is accomplished by means of a form obtained from the Carleton Registrar's Office. Permission of the instructors, the chairs of the departments, the adviser, and the registrars of both colleges is required. St. Olaf credits count toward the total credit load for the term and grades obtained are used in the calculation of grade point averages. Carleton students are not allowed to participate in Carleton/St. Olaf inter-registration while on leave.

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For [Faculty](#), [Students](#)

**Last Reviewed: Sep 9th, 2021**

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Maintained by Dean of the College Office

## Student Academic Fees and Miscellaneous Charges

### Purpose

Ensure all academic fees of the college are reviewed and approved by the Board of Trustees.

### Policy

Student fees associated with Carleton academic programs (i.e. tuition, room, board, music fees, off-campus study fees, classroom materials, supplies, lending library access, etc.) MUST be approved by institutional governance prior to implementation. Approved fees will be included in the budget prepared for and authorized by the Budget Committee, College Council and Board of Trustees.

Academic fees are disclosed in the college catalog.

All student fees and fines should be communicated to the Carleton Business Office by the originating department on a per term basis in order to ensure they are billed to the student account on a timely basis. The Business Office will support the billing and collection process.

From time to time departments may purchase goods or services for the convenience of participating students for which participating students will reimburse the college (i.e. dry-cleaning services; airline tickets; athletic equipment or athletic apparel), departments should contact the Business Office for assistance with the billing and collection process for these reimbursable expenses.

This policy does not apply to ticket sale events, Intramural, Club Sport, or CSA programs or other situations in which students are soliciting participation fees directly from their peers.

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Last revised November 20, 2020

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For [Faculty](#), [Families](#), [Staff](#), [Students](#)

**Last Reviewed: Nov 20th, 2020**

## Summer Independent Study

Summer reading and other summer projects undertaken for credit under the supervision of a faculty member but not assigned as part of a course are considered to be independent study. A student planning to do summer independent study must submit an application approved by the supervising instructor to the Office of the Registrar before the end of spring term. If the course is to be taken S/Cr/NC, this must be stated on the form and signed by the supervising instructor. There is a charge for summer independent study, and these charges are added to the student's account by the Business Office when it is notified by the Registrar's Office of the completion of the course (see [Tuition Charges-Special Fees](#)). Students who have participated in commencement with an asterisk may not register for summer independent study since they have completed their regular work at Carleton.

In all cases, the one-week drop (without transcript entry) period shall begin with the last day of the spring examination period. Summer Independent Study may not be late dropped (with a DRP transcript entry) or opted S/Cr/NC after 4:30 p.m. on the seventh Friday following the last day of the spring examination period. Other rules concerning drop/add also apply to Summer Independent Study.

Summer work must be completed and submitted no later than the first day of fall term.

See also [drop/add, independent study/reading/ research](#), and [s/cr/nc option](#).

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Last revised April 23, 2015

For [Faculty](#), [Students](#)

**Last Reviewed: Sep 9th, 2021**

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Maintained by Dean of the College Office

## Summer Study at Other Institutions

While academic work taken at other institutions during a summer or winter vacation may supplement a student's program at Carleton, such course work is not usually granted Carleton credit and therefore does not appear on the student's Carleton transcript. Students wanting Carleton credit for courses taken elsewhere while they are enrolled Carleton students must petition the Academic Standing Committee (ASC) in advance for approval of credit using the petition form available on the [ASC webpage](#). Summer off-campus study programs (as distinguished from summer school courses) must be petitioned for through Off-Campus Studies.

Credit for summer study will usually be approved under the following circumstances:

1. when the student is deficient in either credits or requirements and the ASC has recommended or suggested it;
2. when the program (as distinguished from summer school courses) is among the off-campus study programs Carleton approves, e.g., summer field courses;
3. when it is an OCS approved language program offered in a foreign university or through a domestic post-secondary institution in a foreign country. Students can receive foreign language credit for study at domestic institutions only when deficient in credit and with permission of the ASC.

Credit will occasionally be given for work done under the following circumstances:

1. when the student must take a published departmental requirement and cannot do so at Carleton because of unusual circumstances. Usually, the ASC would expect the student to have planned the program in such a way that an exception would not have to be made. These kinds of exceptions should be rare, but they are likely to arise because students are encouraged to take part in off-campus programs or because students are off-phase in progress toward graduation;
2. when a student misses a required course because of illness or late commitment to a major makes it difficult (or impossible) to fulfill the requirement otherwise.

Credit will not be given:

1. when the student could take the required course at Carleton. Planning to take a course not offered at Carleton is not sufficient basis for approval of credit;

2. when the student has already earned equivalent credit at Carleton;
3. for the student's convenience.

The petition form must include a statement of the student's reasons for wanting Carleton credit for summer study, the name of the institution, the course title and number, and a brief description including the number of credits for each course. It will also include the adviser's signature plus the written approval of a faculty member of the appropriate Carleton academic department. The Carleton faculty member may also, while approving the course, specify that credit will be granted only upon special examination or other evaluation criteria after the course has been completed. Although in all cases department approval of the course is necessary, the final approval of credit will be determined by the ASC.

**The ASC petition should be submitted not later than May 15** . In extraordinary circumstances, departmental approval may be sought after the courses are taken, but prior approval is strongly recommended. (For study classified as a program or for summer courses at an institution outside the United States, the regular forms for petition for off-campus study should be used.)

Summer school credits that are accepted for Carleton credits will be counted as off-campus credits and will be part of the maximum 54 off-campus credits a student is permitted to apply toward the Carleton degree.

Determination of the amount of transfer credit is established by the Registrar. No credits are transferred for work in which a grade below "C-" is earned (approved non-Carleton OCS credit excepted). Also, no credits are transferred for work deemed to be equivalent to credits already earned at Carleton. The Academic Standing Committee (ASC) must approve all off-campus study for Carleton credit.

Students entering with the class of 2026 should review the Transfer of Credit policy for updates to this policy.

See also [off-campus study](#) and [transfer of credits](#).

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Last revised September 9, 2021

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For [Faculty](#), [Students](#)

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**Last Reviewed: Sep 9th, 2021**

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Maintained by Dean of the College Office

## Transcripts

***Official transcripts are released only with signed authorization of the individual student .***

Requests for transcripts must be submitted via the [Transcript Request form](#) on the Hub. There is no charge for processing transcripts. Allow five working days for processing any transcript request. Unofficial transcripts may be reviewed and printed online by currently enrolled students.

Transcripts will not be released until the student has cleared financial obligations with the Business Office.

Honors indicated on the transcript are the following:

- Latin honors: summa cum laude, magna cum laude, cum laude
- Dean's List (by year)
- Distinction in Major Department
- Distinction in Senior Integrative Exercise
- Honors in Independent Study
- Honors in Music
- Certificate of Advanced Study in Foreign Language and Literature and Foreign Language and Area Studies
- Phi Beta Kappa
- Sigma Xi
- Mortar Board

Transcripts and other documents submitted from other institutions and agencies are the property of Carleton College and will not be reissued.



See also [transfer of credits](#) and [records of academic work](#).

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Last revised September 9, 2021

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For [Faculty](#), [Students](#)

**Last Reviewed: Sep 9th, 2021**

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Maintained by Dean of the College Office

## Transfer of Credits

Carleton transfers credit from other institutions only in rare situations. College credits completed elsewhere after matriculation at Carleton will not be considered for transfer to Carleton unless preapproved by the Academic Standing Committee and the Registrar or unless they were completed as part of an approved off-campus study program. Grades for transferred courses are not posted on the Carleton transcript, and grade point averages do not transfer. A standard course is valued at 6 Carleton credits and is the equivalent of 3.333 semester hours or 5 quarter hours. Carleton does not transfer fractional credits; when converting from semester or quarter credits to Carleton credits, tenths of credits will be rounded down to whole numbers.

Carleton accepts up to 36 pre-matriculation credits toward the Carleton degree from the following: College Board Advanced Placement, Higher Level International Baccalaureate, select British A-level Examinations (GCE) with grades of B or higher, or approved pre-matriculation credits (credits earned in college-level courses taken before graduation from high school or before matriculation at a college or university, including as PSEO or College in the Schools).

These credits may not be applied to distribution requirements. Specific articulation information about these exams can be found in the College Catalog.

For transfer students, a maximum of 102 credits may be transferred and applied to the requirements of the Carleton degree, including work done in high school. A matriculated student may apply toward the Carleton degree a total of 54 credits earned while off campus (Carleton faculty-led off-campus seminars are excluded from the 54-credit maximum) unless, as in the case of certain transfer students, this would result in a total number of transfer credits exceeding the 102 overall maximum. Students who are admitted as transfer students are expected to complete a minimum of 108 credits and six terms at Carleton to be eligible for the degree.

Only transfer work from regionally accredited colleges and universities will be considered for transfer. Transcripts and other documents submitted from other institutions and agencies are the property of Carleton College and will not be reissued.

An official transcript from the issuing institution must be received by the Office of the Registrar before any academic work done elsewhere may be accepted for Carleton credit. An official transcript is one that has been authenticated by the issuing institution, usually by applying the official seal to the copy of the academic record along with a facsimile of the signature of the registrar or recorder, or by recognized authentication delivery methods in the case of electronic transcripts. AP and IB scores must be requested by the student and Carleton must receive the scores directly from their issuing agencies. Students with A-Levels should bring their laminated result sheet directly to the Registrar's Office.

Potential transfer courses will be evaluated on a case-by-case basis. Courses must be considered college-level, relevant to a liberal arts degree, and a student must have earned a C- or above. If a course is taken as Pass/No Pass, and the school awards a Pass for grades below a C-, a letter must be submitted from the institution's registrar indicating the student would have received a C- or above before transfer credit is awarded. Acceptance of credit may be for general credit only; equivalency to specific courses is determined by individual academic departments. Math courses below the level of calculus will not be accepted. Carleton does not grant transfer credit for independent study or credit by examination. This includes CLEP exams, DSST/DANTES, and ACE exams. Carleton does not grant transfer credit for life or work experience, nor does it grant credit for vocational study. In the disciplines of foreign language and mathematics, Carleton requires placement exam results to determine transferability of credits earned at a prior college.

Off-campus credits may be earned in any combination of the following:

On non-Carleton, nonaffiliated programs approved by the Off-Campus Studies Committee.

1. Approved summer study at other institutions.
2. Courses required and approved by the ASC taken for completion of the degree following twelve terms of residency at Carleton College.

The Registrar's Office will only record off-campus work on a student's Carleton transcript in these approved cases. Courses taken for personal enrichment or to meet graduate school or other professional requirements will not be recorded on the Carleton record.

Transcripts from foreign colleges and universities must be submitted to an outside agency for course-by-course evaluation and processing before an evaluation can be completed. The agency must be a member of the National Association of Credential Evaluation Services (NACES).

Transfer students who have college-level work that they would like to have considered for their major or minor or for graduation requirements (which are not currently recorded as such) should follow these steps:

1. Obtain a copy of the course syllabus and/or course description from the official course catalog of the institution where the course was taken.
2. Have the course reviewed by the chair or director of the department or program.
3. Have the chair or director contact the Associate Registrar to adjust the course articulation.

Students with non-Carleton OCS work that they would like to have considered for their major or minor or for graduation requirements should complete an Approval of Special Credit for Off-Campus Study form, found on the Off-Campus Studies website.

Students with more than the maximum allowed 36 pre-matriculation credits or 102 transfer credits may contact the Registrar's Office after matriculation to discuss which courses will be represented on the Carleton transcript. Students may elect to take the equivalent Carleton course to ensure their understanding of the material and forfeit the transfer credit.

For information concerning prior credits and their acceptance toward the degree, see the [Academic Catalog](#) or the Office of the Registrar.

### **Beginning with the incoming class of 2026**

Carleton accepts any combination of up to 18 pre- or post-matriculation credits toward the Carleton degree from the following: College Board Advanced Placement, Higher Level International Baccalaureate, select British A-level Examinations (GCE) with grades of B or higher, or credits earned in college-level courses taken at a regionally accredited college or university, including courses taken as PSEO or College in the Schools. Specific articulation information about the exams listed above can be found in the College Catalog.

College credits completed elsewhere after matriculation at Carleton will be considered for transfer to Carleton only after prior approval by the Registrar or if they were completed as part of an approved off-campus study program. Grades for transferred courses are not posted on the Carleton transcript, and grade point averages do not transfer. A standard course is valued at 6 Carleton credits and is the equivalent of 3.333 semester hours or 5 quarter hours. Carleton does not transfer fractional credits; when converting from semester or quarter credits to Carleton credits, tenths of credits will be rounded down to whole numbers.

Post-matriculation credits may be earned during breaks when Carleton is not in session, during terms when the student is academically suspended, and with prior approval of the Dean of Students Office during a leave of absence.

Potential transfer courses will be evaluated on a case-by-case basis. Courses must be considered college-level, relevant to a liberal arts degree, and a student must have earned a C- or above. These credits may not be applied to Liberal Arts requirements. No credits are transferred for work deemed to be equivalent to credits already earned at Carleton, and failed courses may not be replaced by transfer courses. Content may overlap a Carleton course but cannot replace a Carleton course on the transcript; however, departments may make substitutions or waivers for non-Carleton courses at their discretion. Courses may apply to majors and minors or be used for placement or prerequisites with approval of the Registrar and the relevant academic department(s) or interdisciplinary program(s). Math courses below the level of calculus will not be accepted. Mathematics requires placement exam results to determine transferability of credits earned at a prior college. Students should consult departmental and program information regarding pre- and post-matriculation credits in the Academic Catalog to review individual department and program rules or restrictions.

Only transfer work from regionally accredited colleges and universities will be considered for transfer. Transcripts and other documents submitted from other institutions and agencies are the property of Carleton College and will not be reissued.

If a course is taken as Pass/No Pass, and the school awards a Pass for grades below a C-, a letter must be submitted from the institution's registrar indicating the student would have received a C- or above before transfer credit is awarded. Carleton does not grant transfer credit for independent study or credit by examination. This includes CLEP exams,

DSST/DANTES, and ACE exams. Carleton does not grant transfer credit for life or work experience, nor does it grant credit for vocational study.

An official transcript from the issuing institution must be received by the Office of the Registrar before any academic work done elsewhere may be accepted for Carleton credit. An official transcript is one that has been authenticated by the issuing institution, usually by applying the official seal to the copy of the academic record along with a facsimile of the signature of the registrar or recorder, or by recognized authentication delivery methods in the case of electronic transcripts. AP and IB scores must be requested by the student and Carleton must receive the scores directly from their issuing agencies. Students with A-Levels should bring their laminated result sheet directly to the Registrar's Office. Transcripts from foreign colleges and universities must be submitted to an outside agency for course-by-course evaluation and processing before an evaluation can be completed. The agency must be a member of the National Association of Credential Evaluation Services (NACES).

Students who have college-level work that they would like to have considered for their major or minor or, in the case of transfer students' pre-Carleton work for graduation requirements (which are not currently recorded as such) should follow these steps:

- *Obtain a copy of the course syllabus and/or course description from the official course catalog of the institution where the course was taken.*
- *Have the course reviewed by the chair or director of the department or program.*
- *Have the chair or director contact the Associate Registrar to adjust the course articulation.*
- *Students with non-Carleton OCS work that they would like to have considered for their major or minor or for graduation requirements should complete an Approval of Special Credit for Off-Campus Study form, found on the Off-Campus Studies website.*

Students with more than the maximum allowed 18 pre- or post-matriculation credits or 102 transfer credits may contact the Registrar's Office after matriculation to discuss which courses will be represented on the Carleton transcript. Students may elect to take the equivalent Carleton course to ensure their understanding of the material and forfeit the transfer credit, unless the student has used the course as a prerequisite for a more advanced Carleton course in which they earned a passing grade. Students may apply additional credits toward placement or as a course prerequisite with departmental approval, but those credits will not be transcribed.

For information concerning prior credits and their acceptance toward the degree, see the Academic Catalog or the Office of the Registrar.

### **Information for Transfer Students**

For transfer students, a maximum of 102 credits, including work done in high school, may be transferred and applied to the requirements of the Carleton degree. College-level transfer work taken prior to matriculating at Carleton may apply toward Carleton's Liberal Arts requirements and may articulate to specific Carleton courses in consultation with the Registrar and relevant academic departments. A matriculated student may apply toward the Carleton degree a total of 54 credits earned while off campus (Carleton faculty-led off-campus seminars are excluded from the 54-credit maximum) or up to a maximum of 18 credits earned via post-matriculation work unless, as in the case of certain transfer students, this would result in a total number of transfer credits exceeding the 102 overall maximum. Students who are admitted as transfer students are expected to complete a minimum of 108 credits and six terms at Carleton to be eligible for the degree.

### **Information for Non-Graduates**

Students who do not complete their graduation requirements by the end of their final term and are required to complete their remaining graduation requirements away from Carleton, generally at another institution, are referred to as "non-grads," or "asterisk grads," and operate under a variation of the above policy.

The Registrar must pre-approve all courses taken elsewhere to complete the Carleton degree, in consultation with academic departments as necessary. Courses must be considered college-level, relevant to a liberal arts degree, and a student must have earned a C- or above. No credits are transferred for work deemed to be equivalent to credits already earned at Carleton, and failed courses may not be replaced by transfer courses. Only transfer work from regionally accredited colleges and universities will be considered for transfer. Transcripts and other documents submitted from other institutions and agencies are the property of Carleton College and will not be reissued.

If a course is taken as Pass/No Pass, and the school awards a Pass for grades below a C-, a letter must be submitted from

the institution's registrar indicating the student would have received a C- or above before transfer credit is awarded. Carleton does not grant transfer credit for independent study or credit by examination. This includes CLEP exams, DSST/DANTES, and ACE exams. Carleton does not grant transfer credit for life or work experience, nor does it grant credit for vocational study.

See also [advanced placement](#), [off-campus study](#), [summer study at other institutions](#), and [transcripts](#).

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Last revised September 9, 2021

For [Faculty](#), [Students](#)

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**Last Reviewed: Sep 9th, 2021**

Maintained by Dean of the College Office

## Tuition Charges for 2021-2022

Tuition is charged as part of the comprehensive fee, which is regarded as an annual charge rather than the sum of charges for each term. The 2021-2022 fee totals \$75,600 allocated as follows:

- Tuition: \$59,850
- Room: \$8,115
- Board: \$7,260
- Activity Fee: \$375  
(View the [refund policy](#).)
- Special Fees\*
  1. For Special Students, the tuition fee is \$6,648 for one six-credit course.
  2. Off-Campus Independent Study up to six credits (including summer, winter, and spring break):
    - 1-2 credits: 1/6 of Course Tuition = \$1,108
    - 3-4 credits: 1/3 of Course Tuition = \$2,216
    - 5-6 credits: 1/2 of Course Tuition = \$3,324
  3. Independent Reading Course fees up to six credits are charged at the same variable rate as Off-Campus Independent Study.

\*Note: Special fees for course work done in the summer of 2022 will be charged at the 2022-2023 rates which have not yet been established.

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Last revised August 15, 2018

For [Faculty](#), [Families](#), [Students](#)

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**Last Reviewed: Jul 30th, 2020**

Maintained by Business Office

## Winter Break Credit

Because of the extended winter break period, it is feasible to pursue some studies for up to six credits through Independent Study. (Career Exploration programs receive no credit.) There is a charge. To register for Independent Study, forms must be submitted to the Office of the Registrar by the end of the fall examination period. In all cases, the one-week period for drop (without transcript entry) shall begin with the last day of the fall examination period. Winter break credits may not be late dropped (with a DRP transcript entry) or opted S/Cr/NC after 5:00 p.m. on the third Friday following the last day of the fall examination period. Winter break field trips are attached to winter term courses that may not be dropped without ASC approval. Students must be fully registered for winter term, including the field trip related course, prior to leaving on a winter break field trip. Other rules concerning drop/add and S/Cr/NC will apply to winter break credit. Winter break independent study work must be completed and submitted no later than the first day of winter term.

See also [drop/add](#), [independent study/reading/research](#), [S/Cr/NC option](#), [spring break credit](#), and [summer independent study](#).

For [Faculty](#), [Students](#)

**Last Reviewed: Sep 9th, 2021**

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Maintained by Dean of the College Office

## Withdrawal From the College

### Withdrawal After a Term:

Students may withdraw from the College after any term. Written notification must be given to the Office of the Dean of Students, and this office will advise students on procedures for withdrawal. Readmission requests should also be submitted to this office.

### Suspension or Dismissal for Insufficient Academic Progress

The College may suspend or dismiss a student for insufficient academic progress at the end of any term if, in the judgment of the Academic Standing Committee (ASC), their cumulative record indicates an inability to fulfill college requirements. Students whose record indicates a precipitous decline may also be suspended. The suspended student will be required to remain out for at least two terms and fulfill the requirements for readmission set by the ASC. The dismissed student (typically a student who has had a prior academic suspension) is normally not considered eligible for readmission.

### Withdrawal During a Term/Term Amnesty

A student may petition the ASC to withdraw during an academic term when it seems that staying at Carleton would be neither productive nor worthwhile. In this case, the student's transcript will indicate that they withdrew during the term, along with the date of withdrawal. The term would not count as one of the 12 terms allowed for graduation (although it will use one term of allotted financial aid monies). Students so withdrawing are generally required to be away from Carleton for a minimum of two terms before readmission will be considered. Requirements for readmission would be determined by the ASC. Students considering this option should consult with their class dean.

Students who withdraw without penalty will be billed for the appropriate portion of their comprehensive fee. Students eligible for financial aid will have the appropriate portion of their financial aid applied to their account and, as such, will use one of their 12 terms of financial aid eligibility.

### Unofficial Withdrawal

In the event a student leaves campus without notifying the institution, all efforts are taken to reestablish contact. In the unlikely event contact is not reestablished, the institution will consider this to be an unofficial withdrawal from the College. The last date of academic activity will be used as the effective date of the withdrawal.

See also [satisfactory academic progress](#)

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For [Faculty](#), [Students](#)

**Last Reviewed: Sep 9th, 2021**

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Maintained by Dean of the College Office

## Writing Requirement

Students are required to successfully complete with a grade of C- or better: 1) the A&I seminar (WR1), 2) six credits of additional coursework designated WR2, and 3) a writing portfolio to be submitted and accepted by faculty after the third term and no later than the seventh week of the sixth term.

Students who fail to turn in a portfolio by the deadline will not be allowed to register for the next term until the portfolio is reviewed.

Faculty and staff members review portfolios and rate them as either exemplary, passing, or in need of more work.

[Click here](#) to view the portfolio requirements.

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Last revised June 25, 2013

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For [Faculty](#), [Students](#)

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**Last Reviewed: Sep 9th, 2021**

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Maintained by Dean of the College Office

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## Written Evaluation of Course Work

At the end of any course, a student may request a written evaluation of his or her work to supplement the letter grade. If that course has fewer than 20 students, the professor must honor the request. If the course has more than 20 students, the professor may choose to give a written evaluation but is not obligated to do so. The evaluation goes to the student only; no copy is filed with any College office.

See also [transcripts](#).

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For [Faculty](#), [Students](#)

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**Last Reviewed: Sep 9th, 2021**

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Maintained by Dean of the College Office

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### Academic Regulations & Procedures

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The [Campus Handbook](#) is the one place to find all official Carleton College policies and guidelines. It contains the [Student](#), [Faculty](#), and [Staff](#) handbooks. These policies and guidelines are subject to change.

If you have questions or corrections, please email [campus-handbook.group@carleton.edu](mailto:campus-handbook.group@carleton.edu).

This page last updated 17 January 2019.

[Login](#)

# Buildings & Grounds

## Alcohol and Other Drugs Policy

### I. Introduction

The Carleton College policy on alcohol and other drugs exists within the context of local, state, and federal laws. The regulations contained in this policy are designed to comply with all applicable City of Northfield ordinances and the laws of Minnesota and the United States, including the Drug-Free Schools and Communities Act Amendments of 1989.

### Philosophical Statement

Carleton College is committed to promoting responsible behavior regarding the use of alcoholic beverages. As an educational institution, the College provides resources through which students are empowered to inform themselves about the physiological, psychological, and sociological effects of alcohol and other drugs upon the individual and the community.

In a civil, safe, and healthy community, members take responsibility for their own actions, and consider the impact that their choices will have on others. All members have a duty to accept their obligations to the group, and to act for the common good. As members of such a community, Carleton students, faculty, and staff will be held accountable for upholding the standards set forth for appropriate behavior.

Above all else, in all actions, both on and off campus, members of the Carleton community shall:

- Demonstrate respect for others in their actions.
- Acknowledge the impact of alcohol on communal living, and work to limit its negative effects.
- Retain autonomy, and thereby accountability for their choices and the outcomes of such choices.

The policies which follow, and the philosophy upon which they are based, are intended to foster the continued growth and development of a respectful and responsible community.

### II. Regulations

1. **Alcohol, other drugs, and paraphernalia on campus:** The college prohibits the unlawful possession, use, manufacture and/or distribution of alcohol and illicit drugs by students and employees on College property or as part of any College activities. The provisions of Northfield city ordinances and laws of Minnesota and the United States including the



Drug-Free Schools and Communities Act Amendments of 1989 (Public Law 101-226), shall govern.

- a. No kegs or common containers of alcohol are allowed in private residential spaces (houses, townhouses, residence hall rooms, etc.). The college will confiscate any unlawful or unauthorized items. This includes, but is not limited to paraphernalia such as bongos, pipes, drugs, kegs, beer bongos, etc. Once confiscated, the items will not be returned.
  - b. Persons under 21 years of age are prohibited from drinking alcoholic beverages.
  - c. Persons 21 years of age or older may drink alcoholic beverages only in their private residential rooms or at registered events.
  - d. Alcohol is not permitted in any public area without prior registration. Public areas include but are not limited to: Sayles-Hill, Severance Great Hall, dining halls, residence hall and house lounges/living rooms, study rooms and corridors, all academic buildings and athletic areas, and all outdoor areas owned and operated by the College, including outdoor recreational areas.
  - e. Possession of open containers of alcohol is prohibited at all times at all campus locations, except at registered event locations or in private residential rooms.
  - f. High-risk alcohol-related activities, such as progressives, drinking theme parties, drinking games, beer bongos, and similar behaviors are prohibited.
  - g. Students should not engage in the manufacture or production of any alcoholic beverage on the Carleton campus including, but not limited to, cereal malt beverage (beer), wine, moonshine, and liquor.
  - h. The college recognizes the particular danger of driving while under the influence of alcohol and other drugs. Therefore, students are expected never to use substances and drive.
2. **Alcohol at registered events:** Some public areas may be registered for an event at which alcohol will be available by submitting the appropriate event registration form to the Student Activities Office. A full description of the regulations and responsibilities to which event sponsors are subject is found on the [Student Activities website](#)
- a. Any kegs or common containers (e.g. punch bowls, garbage cans, inflatable pools, etc.) of alcohol may be permitted if the following two criteria are met:
    - i. the event is registered in advance through the Social Event Registration process and approved through Student Activities, **and**
    - ii. the alcohol is served by a College approved licensed third party vendor.
  - b. Hard alcohol is allowed at registered events, but must be approved and served by a college approved licensed third party vendor. For the purpose of this policy, Carleton defines hard alcohol as anything other than beer, wine, or malt beverage.
  - c. All alcohol which is unauthorized will be confiscated along with all other related items (taps, kegs, cups, etc.). Note: This may result in loss of any purchaser's deposit(s). The student host or residents of the event will be held responsible and will face disciplinary action.
  - d. The college recognizes the disruptive effects that alcohol and other drugs can

have on the Carleton community. Therefore, all registered events are subject to (but not limited to) the following regulation principles:

- i. Event sponsors may be held responsible for the actions of both individuals and the group. Behavior that violates the living and study rights of other residents is unacceptable.
    - ii. Damages: If individuals responsible for the damage cannot be identified, the event sponsors shall be liable for damage and clean-up charges. The event area must be cleaned and returned to its pre-event condition.
  - e. Small gatherings in private residential rooms need not be registered with the College. Such gatherings are, however, subject to all other regulations regarding alcohol use described in this policy.
3. **Social Host Liability:** Anyone over 21 who serves alcohol to someone under 21 may be held civilly liable for any damages subsequently caused by the person under 21.
4.
  - a. Social Host Ordinance - City of Northfield (enacted May 2011): The purpose of the social host ordinance is to hold individuals responsible for activities that allow people who are under the legal drinking age of 21 to consume alcohol. Students who host parties where underage drinking occurs can be charged under this social host ordinance. The consequences for violating the Northfield Social Host Ordinance could be up to 90 days in jail and up to a \$1,000 fine, and is a misdemeanor. According to the ordinance it is essential to take reasonable steps to curb underage consumption.
  - b. Reasonable Steps May Include:
    - i. Controlling access to alcohol and alcoholic beverages in such a manner that no underage person has access to the alcohol and alcoholic beverages at the gathering or event; or
    - ii. Directly supervising the activities of underage persons at the gathering event either in person or through a responsible adult; or
    - iii. Checking identification of the attendees of the gathering to determine age; or
    - iv. Other actions made by the person to prevent possession or consumption of alcohol or alcoholic beverages by the underage person(s) present.
5. **Students on Off Campus Study:** Students participating in off-campus study programs are subject to local laws, as applicable. Students who jeopardize their own health, the health and safety of others, or the integrity of the living and learning environment on the program may be required to leave the program. The program director, in consultation with the VP/Dean of Students (or designee), has the authority to remove a student from the program under these circumstances.

### III. Sanctions and Responsive Action

1. **Sanctions:** A violation of this Policy is a “violation” within the meaning of the Community Standards Policy, III.C.5. All sanctions listed there (restitution, service, counseling, chemical dependency evaluation, revocation of privileges, warning, censure, disciplinary probation, suspension, and expulsion) are applicable. In addition, for violations of this Policy, sanctions may include mandatory education, counseling, fines,

community services, and/or evaluation, conducted on or off-campus.

## 2. **Responsive Actions:**

The College recognizes that students are expected to obey the law and take personal responsibility for their conduct. The College will respect the privacy of student's personal lives. The college will hold students accountable if and when:

- a. Students' use of alcohol or other drugs threatens order, causes public disturbances, poses danger to the students and/or others, or results in property damage;
- b. Illegal use of alcohol and other drugs comes to the attention of College officials. Drunk and disorderly behavior when under the influence of alcohol is a violation of the alcohol policy. Persons under the influence of alcohol will be held responsible for their actions.
- c. Any violations of this policy by students, including violations of the "Social Event Registration Guidelines," will be brought to the attention of the Dean of Students staff. Violations by faculty or staff will be brought to the attention of the Dean of the College or Vice President of the College, respectively.
- d. Violations will be reviewed and sanctions imposed by the Dean of Students, the Dean of the College, the Vice President of the College, or the Judicial Hearing Board.

## IV. **Resources**

Alcohol and drug counseling, treatment, and rehabilitation/re-entry programs for students, staff, and faculty are available from a variety of sources. Anyone who recognizes a personal alcohol or drug problem, is concerned about another student or co-worker, or who may wish to know more about alcohol and drug abuse may contact:

1. **Internal Sources:** (phone extensions; add area code 507 and 222 prefix if dialing from non-Carleton phone, e.g. 507-222-4248)

### 1. **Students:**

- Office of the VP/Dean of Students: 4248, 4075
- Residential Life: 4072
- Student Health and Counseling: 4080
- For more information on resources related to recovery, please see the [Office of Health Promotion](#) website.

### 2. **Faculty and Staff:**

- Dean of the College: 4303
- Employee Assistance Program: 1-866-326-7194
- Human Resources: 7471

2. **External Sources:** This website offers support resources within Northfield and the surrounding communities: <https://northfieldhci.org/resources/>

## **Endnote**

<sup>1</sup> Summary of Drug-Free Schools and Communities Act Amendments of 1989 (Public Law No.

101-226)

A. The new Drug-Free Schools and Communities Act Amendments of 1989 (Public Law No. 101-226) require colleges and universities to adopt a program to prevent the unlawful use of illicit drugs and alcohol by students and employees. A College's failure to comply with the Act can result in the immediate loss of eligibility to receive federal funding and any other form of Federal financial assistance, including federally funded financial aid.

B. All colleges must give notice to each student and employee that unlawful use of drugs and alcohol is prohibited, describe applicable legal sanctions and health risks, list counseling programs available, advise students and employees that violation of the policy could lead to penalties up to and including expulsion from the College, termination of employment and/or referral to civil authorities for prosecution, and review the policy biennially.

C. Policy Requirements: A college's drug prevention program must prohibit, at a minimum, the unlawful possession, use or distribution of illicit drugs and alcohol by employees and students on college property or as part of its activities.

Presented to and adopted by the College Council on May 29, 2001. Approved by the Executive Committee of the Board of Trustees June 21, 2001.

## V. Information About Alcohol, Tobacco and Other Drugs

[Description of College Student Substance Use](#)

[Health Consequences of Drug Use](#)

[Health Risks of Alcohol and Tobacco Use](#)

[Facts on E-cigarettes](#)

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*Adopted by College Council on May 29, 2001.*

*Approved by the Executive Committee of the Board of Trustees June 21, 2001.*

*Note: Information About Alcohol, Tobacco and Other Drugs policy revised/updated August 2011*

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For [Faculty](#), [Staff](#), [Students](#)

**Last Reviewed: Aug 17th, 2021**

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Maintained by Dean of Students

## Animals on Campus

**Definition:** Animal—for these purposes, any species that is not human.

**Applicable Public Law.** Any person bringing an animal(s) onto the property of Carleton College should be aware that the City Code of Northfield applies to their visit. Please refer to Part II, Chapter 10, Article II, 10-31 through 10-98.

**Animals in Buildings.** No animals are allowed in any Carleton College buildings including academic, administrative, and residential buildings that the College owns with the exception of research animals used in the work of College departments, service and emotional support animals (see

below), and support animal visits scheduled by the Health Promotions Office. Faculty, staff, or students may not pet-sit or invite an animal into College housing. There are a few college houses that are exceptions from this policy because of their required long-term residential nature including Nutting House and Headley Cottage. In addition, Sperry House and Seccombe House are identified as pet-friendly employee rental housing.

**Animals on the Grounds.** Animals must be leashed and under the direct control of their owner. Animals running freely or that are tied up and unattended are not under the direct control of their owner will be reported to the City of Northfield Animal Control Officer for pickup as provided for in the City Code.

Animals that are left in their owner's vehicle will be reported to the City of Northfield Animal Control Officer for pickup as provided for in the City Code if they appear to be under duress from heat, inadequate ventilation, or severe cold.

All animal wastes must be picked up and properly disposed of by the associated owner.

**Public Safety** Persons who wish to report violations of this policy may call Carleton College Security at x4444.

**Service or Emotional Support Animals** While the college does not permit pets on campus, it does comply with federal law, American Disability Act and the Fair Housing Act in the regards to the presence of Service or Emotional Support Animal for individuals with appropriately documented disabilities. Contact Director of Disability Services (students) or Human Resources (employees) for guidelines and regulations for the accommodation of Service or Support animals in campus housing or in campus buildings.

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Last revised November 6, 2017

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For [Alumni](#), [Faculty](#), [Families](#), [General Public](#), [New Students](#), [Prospective Students](#), [Staff](#), [Students](#)

**Last Reviewed: Mar 1st, 2022**

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Maintained by Facilities

## **Climbing on College Buildings and Structures and Unauthorized Access to Prohibited Areas**

Climbing on any building or structure, including the water tower, scaffolding, roofs, tall trees, etc. is prohibited. Violation of this rule may result in a fine of \$250 and other disciplinary sanctions for the first violation. Additional violations of this rule will increase the fine amount, up to \$1000. The College is not responsible for injuries resulting from climbing on college buildings or structures.

The same fines will apply to violations of unauthorized access to or use of buildings and other facilities such as tunnels, construction zones, and other prohibited areas.

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For [Students](#)

**Last Reviewed: Aug 17th, 2021**

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Maintained by Dean of Students

# Contributing to Landscape Improvements and Maintenance

The College accepts gifts that provide funding to improve or support the maintenance of the campus, Cowling Arboretum, and other College-owned land. Proposed gifts for those purposes will be subject to the following policies and procedures.

1. The College strongly encourages donors to support operations and capital improvements through undesignated gifts, affording the College the greatest flexibility in applying funds to projects of the greatest need.
2. Designated gifts are appropriate in some circumstances but should provide support for existing needs, plans, intentions, or programs.
3. Initial contact with the College for information on or discussion of potential projects must be made through the Development Office, which also will coordinate project selection and gift arrangements. The Development Office will consult with the Facilities staff to determine feasibility and for preparation of plans, designs, and cost estimates.
4. Donations for special projects should provide funding for the entire project, from planning to installation to maintenance, including the cost of professional consultation if required. Support of any kind that is to be provided by the College must be approved, in advance, in consultation with the affected departments.
5. Many projects will be subject to review and comment by the Campus Design Committee, the Development Office, affected departments, the Vice President and Treasurer, the President of the College, or the Board of Trustees.
6. The method and content of donor recognition is subject to approval of the Development Office in consultation with the Facilities Department.
7. The College retains the right, subject to approval by the Trustees, to alter, relocate or remove any and all trees, plants or landscape objects as the future needs of the College may dictate.
8. Human remains may not be buried or interred on any College-owned land.

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*December 14, 1989 by the Board of Trustees of Carleton College*

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For [Alumni](#), [Faculty](#), [Families](#), [General Public](#), [Staff](#), [Students](#)

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**Last Reviewed: Jan 4th, 2022**

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Maintained by Development

## Cowling Arboretum

### Visiting the Arboretum

The Cowling Arboretum is open to public use year round. Visitors to the Arboretum are welcome, both from the Carleton community and beyond. To maintain the Arboretum for all, please follow these rules:

1. Bikes are allowed only on specifically designated trails in the Upper Arboretum (east of Hwy 19); no bike use is allowed in the Lower Arboretum (west of Hwy 19). Limiting biking is necessary to prevent erosion, especially on trails in lower lying areas where the ground is too soft to support tires. Bikes are restricted from the Lower Arboretum because of ongoing

studies by Carleton faculty and students and to avoid bike/pedestrian conflicts. Bikes are not allowed anywhere in the Arb while the trails are being groomed for skiing.

2. No motorized vehicles are allowed, except for maintenance or emergency.
3. Because of the lack of sanitary facilities, the Arboretum is not open for camping.
4. Fires are not permitted in the Arboretum. Specifically designated fire rings are available on campus at the Hill of Three Oaks, the Council Ring, and Mai-Fete Island.
5. Dogs are welcome if on a hand-held leash, not to exceed 6 feet in length; all dog droppings must be removed.
6. Horses are not allowed anywhere in the Arboretum.
7. Drones are not permitted without express written permission (see below)
8. The Arboretum is a State Game Refuge, so there is no general hunting. [Archery hunting](#) is permitted by permit issued by Arboretum staff in order to control the deer population and reduce damage to trees and other vegetation.
9. Public use in the Lower Arboretum is restricted to the trails during the Archery Hunt between Thanksgiving and December 31st.

### **Athletic Events**

Organized athletic events, such as the running portion of a triathlon, require additional paperwork. Carleton student organizers should contact the Assistant Recreation Center Director for help with planning an event. Non-Carleton organizers of these events should contact the Campus Scheduling Coordinator in the Office of Campus Services.

### **Geocaching and Letterboxing**

Carleton welcomes geocaching and letterboxing both on campus and in the Arboretum. The following guidelines have been established to protect the natural features of the Arboretum, reduce user conflicts throughout College property, and provide a high quality experience for all visitors. Those searching for caches or letterboxes must follow campus and Arboretum visitor regulations. The following guidelines are in effect for anyone who wishes to place a cache or letterbox of any sort on College property.

1. Any placement of a cache or letterbox must receive prior approval from the Director of the Arboretum. You must provide the GPS coordinates (if a cache) as well as relative location to the nearest trail or building or features of the Arboretum (see campus and arboretum maps). Note that caches/letterboxes will not be permitted in areas with steep slopes, close to existing caches/letterboxes, where it may impact rare natural features or interfere with the College's athletic or other activities. Caches and letterboxes may not be placed in the vicinity of any college residence (dormitories or college-owned houses). You must state your caching/letterboxing alias as well as your real name and contact information, provide details on the cache/letterbox container you plan to use, the associated caching/letterboxing organization/web site, and any other specific information about the cache/letterbox. Caching/letterboxing websites are monitored by College personnel and any caches placed without authorization will be removed and an appropriate action taken.
2. Due to the growing popularity of these activities, no person will be permitted to place more than four caches on College property in order to allow others the ability to do so.

3. Once a cache is approved, it may not be relocated more than a few feet without obtaining further permission from the Director of the Arboretum.
4. Cache/letterboxing containers and contents may not be buried or submerged, but can be hidden in dry surface vegetation within reach of walkers on the ground without climbing or impacting the natural habitat. You may not significantly re-arrange vegetation or dead vegetative material to hide the cache/letterbox.
5. Cache/letterboxing containers must be permanently labeled on the exterior to note that cache has been approved by Carleton College, the Arboretum phone number (507-222-4543) and the associated website/info source (e.g. "www.geocaching.com").
6. Caches must be monitored and maintained by the placer to insure accuracy, safety, and working condition of the cache.
7. Caches from organizations/websites that do not permit Carleton College to find and monitor a cache online will not be permitted (such as terracaching.com).
8. Please consider noting on your web listing that the cache was approved by Carleton College.
9. Carleton College accepts no responsibility or liability for any cache, and will not assist in the maintenance of a cache.

### **Group Use**

Group use of the Arboretum or McKnight Prairie is welcome, but groups of ten or more must register to avoid conflicts with other users and to protect natural resources. Class visits by K-12 or non-Carleton college age scholars, adult classes, athletic teams, recreational users, or scout troops are examples of group users who must register their visit. Group leaders should complete the group use registration form found on the [Arboretum website](#). Contact the Director of the Arboretum if you have questions about your group visit.

Commercial photographers must also register, regardless of your group size.

### **Research and Class Use Permits**

As an educational institution, Carleton College strongly encourages use of its lands for research, teaching, and student projects. To maintain natural areas for long-term use, it is necessary for projects to be carried out in ways that minimize disturbance. It is also important for Arboretum staff to know where ongoing research projects are located so that routine management activities (burning, mowing, clearing brush, etc.) do not impact study areas.

A permit is required for research projects (including class exercises) in the Arboretum or McKnight Prairie that include any of the following:

- flags or tags that will remain when the researcher is not present at the study site,
- collection of plants or plant parts, including seeds or tree cores,
- collection, trapping or tagging of animals, including invertebrates,
- introduction of living organisms,
- soil disturbance such as augering or digging soil pits.

### **Drones**



Drone use has the potential to disturb wildlife and create privacy and safety concerns in the Arboretum. Drone use is not permitted without express written permission from the Arboretum Director and in consultation with the Risk Management Office ([see Campus Policy on Drone Use](#)). For research projects, Individuals should use the “Research and Class Use Permit Application” form found on the [Arboretum Website](#). For other college purposes individuals should contact the Arboretum Director at X4543. Recreational use of drones is not permitted.

### **Weddings, Picnics, and Other Gatherings**

Several outdoor spaces in the Arboretum or adjacent to it such as the Council Ring, Hill of Three Oaks, or Monument Hill may be reserved for Carleton or non-Carleton group use such as picnics, family reunions, or weddings. Non-Carleton group reservations may not be made during the academic term. Reservations and paperwork are handled through the Office of Campus Services or may be found on the [Campus Scheduling website](#).

For additional questions or information about Cowling Arboretum, please see the [Arboretum website](#) or contact the Director of the Arboretum, [Nancy Braker](#), at 501-222-4543.

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Last revised April 17, 2013

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For [Alumni](#), [Faculty](#), [Families](#), [General Public](#), [New Students](#), [Prospective Students](#), [Staff](#), [Students](#)

**Last Reviewed: Aug 3rd, 2021**

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Maintained by The Cowling Arboretum

## **Drug-Free Workplace**

### **Introduction**

Following is a description of the Carleton College policy required by the Drug-Free Workplace Act of 1988, which went into effect on March 19, 1989. The College's failure to comply with the provisions in the Act could result in the termination, suspension or debarment of federal government funds or contracts including campus-based student aid funds to which the College may otherwise be entitled. It is important to note that not only are illegal drugs unlawful, but also that legal drugs can be manufactured, dispensed, etc. unlawfully.

### **Policy Requirements**

The College has the obligation to maintain a drug-free workplace to insure that employees perform their jobs safely, efficiently, and in a businesslike manner.

### **Conditions**

The unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance on college property or while conducting college business away from the campus by college employees is absolutely prohibited. Employees are expected and required to report for work or work related activities on time and in appropriate mental and physical condition to carry out their assigned duties. Any impairment due to alcohol or drug use, however slight, is unacceptable.

Employees should also report to Human Resources any medically prescribed treatment involving

prescription drugs that may affect their ability to perform on the job.

As a condition of employment, Carleton employees must abide by the terms of this policy and must notify the College if convicted under any criminal drug statute for a violation occurring in the workplace not later than five days after such conviction. The College in turn must notify the federal funding agency within ten days of receiving such a notice.

### **Definitions**

#### **EMPLOYEES:**

This prohibition covers all employees, including part-time and students. The Drug-Free Workplace Act of 1988 literally applies only to those employees directly engaged in performing work under the provisions of a government grant or contract; however, because it is difficult to segregate work performed under a grant or contract from other institutional work, the College has elected to include all employees under this policy as have most institutions.

#### **WORKPLACE:**

The workplace is any site on or off campus where the work of the College is being performed.

#### **CONTROLLED SUBSTANCES:**

Controlled substances are drugs whose distribution is controlled by Federal or State regulation or statute--the worst street variety to mild prescriptions, including, but not limited to, narcotics, marijuana, hallucinogens, depressants, and stimulants, but not alcohol or tobacco products.

### **Consequence of Violations**

Employees found in violation by the College of the prohibitions set forth under "Conditions" or employees who receive a criminal drug statute conviction for a violation occurring in the workplace will be subject to disciplinary action by the College, up to and including termination, OR will be required to participate in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency.

### **Drug-Free Awareness Program**

Human Resources is responsible for a drug-free awareness program to inform employees about the dangers of drug abuse and the Drug-Free Workplace Policy. Some drug counseling and drug rehabilitation programs are covered by the College's health insurance for participating employees, and all employees except students have access to Carleton's Employee Assistance Program.

### **Labor Agreement**

The Drug-Free Workplace Policy is intended to be consistent with applicable collective bargaining agreements at the College. If differences arise, the Labor Agreement will take precedence.

See [Unlawful Use of Drugs and Alcohol policy](#) for further information.

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Last revised April 8, 1989

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For [Faculty](#), [Staff](#), [Students](#)

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**Last Reviewed: May 28th, 2021**

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Maintained by Human Resources

## **Electronic Lock Access System**

Carleton College is committed to providing a safe secure environment for faculty, staff, students, and visitors as well as convenient access to all workplace, learning, and residential areas. To that end the College maintains an electronic access control system on most of its buildings as a complement to its mechanical key program. This document will enumerate the guidelines within which the electronic access system operates.

## Electronic Access Benefits

1. There is no re-keying needed when someone loses their OneCard.
2. Changes to a cardholder's access privileges can be made at any time and, in most cases, without having to handle the OneCard.
3. Expiration dates can be assigned to a cardholder's privilege so the OneCard won't become a liability when the cardholder graduates or leaves the employment of the College.
4. Doors can be unlocked and locked remotely on a predetermined schedule or on demand.
5. Alarms can be generated if doors are propped open or if someone tries to enter without permission.
6. Authority to manage access can be decentralized.
7. Access transactions are logged in the database by cardholder, location, date/time stamp and approval or denial status. Transaction reporting can be requested by office managers, department chairs, building managers and Security Services as a check on authorized or unauthorized activity at a given location. This feature allows the electronic lock access system to be at times an extension of law enforcement at Carleton College.

## Access-Controlled Areas

### 1. Residential Buildings

- All exterior doors in on-campus residential halls are controlled by the electronic access system and are secured 24/7 with the exception of move-in and move-out days and Reunion.
- Student room doors in [some residential buildings](#) are controlled by the electronic access system. All other student room doors are accessed with metal keys.

### 2. Academic Buildings

- Most exterior doors and [some interior doors](#) are controlled by the electronic access system.

### 3. Administrative Buildings

- Most exterior doors in administrative buildings are controlled by the electronic access system.
- [Some interior doors](#) in administrative buildings are controlled by the electronic access system.

4. Doors on the electronic access system can be unlocked and locked automatically according to pre-arranged schedules tailored to the needs of the building or office.

## Electronic Access Privileges

1. Electronic access cards shall be used only by the individual to whom the card is issued.
2. Duplication of electronic access cards other than by the Campus Services Office is prohibited. Any person who knowingly makes or duplicates a Carleton OneCard or any of the other electronic access cards as defined in this policy is subject to disciplinary action by the College.
3. Access privileges can be requested by a cardholder's supervisor using one of the Building Authorization forms found on the [OneCard website](#) or by sending a message to "dooraccess@carleton.edu". A cardholder may not request building access authorization for themselves.
4. Cardholders authorized to enter a locked building or door on the electronic access system will be held accountable for securing the door after they have gained access. Doors will not be propped open or otherwise compromised.

## Electronic Access Termination

1. **Employee:** When an employee's need for access no longer exists, whether as a result of termination of employment, change of department/responsibility, or other reason, it is the responsibility of the employee's supervisor to notify the [Campus Services Office](#) so that electronic access may be inactivated. If possible, the employee's OneCard needs to be returned to the employee's supervisor or the Human Resources Office after the employee's termination of employment.
2. **Student:** Electronic access will be renewed each term that a student's status is listed as active and will expire on move-out day for that term, unless the student remains on campus for academic or employment-related reasons. The student's OneCard does not need to be returned to the College upon withdrawal or graduation.
3. **Affiliate:** Access expires for affiliate cards that have been issued to a family member(s) of an employee who no longer works for the College. The affiliate's OneCard does not need to be returned to the College.
4. **Non-Carleton Personnel:** Electronic access will be terminated upon completion of the specified and agreed upon length of time listed on the original building access authorization form. Card needs to be returned to Facilities.

## Lost or Stolen Cards

1. Electronic access cards that are lost or stolen must be reported immediately to the Campus Services Office so that the access privileges assigned to the card can be inactivated.
2. Employees and students with Carleton OneCards can easily inactivate their lost or stolen card themselves on the OneCard Dashboard. Instructions and links can be found [here](#).
  - Replacements for lost, stolen, or damaged OneCard will be issued by Campus Services during normal business hours.
  - Temporary cards will be issued by Security Services after normal business hours and on weekends.

## Alarms

1. The electronic access system employs remote alarms that alert system administrators and

Security Services when certain conditions occur.

- Doors that are not scheduled to be unlocked for an extended period should only remain open long enough for a person to pass through them. If the door is held open longer for a door passing event, a “door prop” alarm is triggered. The “door prop” alarm is inactivated when the door is closed. Propped doors compromise the security of the building and should be avoided.
  - Doors that are scheduled to be unlocked for an extended period of time do not trigger “door prop” alarms.
2. Some doors on the electronic access system are equipped with an audible alarm. These alarms are triggered by “door prop” conditions and produce a noise until the door is closed. The noise is intended to be loud and irritating enough that the door will be quickly closed by someone in close proximity to the propped door.

## **Damaged Electronic Access Components**

1. Damaged or non-functional electronic access components such as card readers or audible alarm devices should be reported as soon as possible to the Facilities Office using the campus work order system.
2. Anyone tampering with electronic access components is subject to disciplinary action.

## **Card Types**

1. Personal OneCard
  - Employees
  - Students
2. Temporary Student
3. Affiliate
4. Friend of the College
  - Recreation Center/Library
5. Alumni Guest House Guest
6. Alumni Programs
  - Reunion planning
  - Reunion
7. Summer Academic Programs
8. Access Test
9. Facilities
  - Contractor
  - Student Employees
  - Temporary Faculty Housing
  - Vendor
10. Temporary Department

- Dining Services Temporary
- Res Life Visitor
- Parents Advisory Council
- Cave
- Visitors/speakers

## **Electronic Access Administration**

### **1. Campus Services Office**

- Responsible for issuing campus OneCards to all employees, students, and affiliates.
- Responsible for managing electronic access privileges and schedules for all academic and administrative doors on the electronic access system.
- Responsible for assisting in the troubleshooting and repair of any doors on the electronic access system.

### **2. Residential Life Office**

- Responsible for managing electronic access privileges and schedules for all residential doors on the electronic access system.

### **3. Security Services Office**

- Responsible for issuing temporary electronic access cards after normal business hours on weekdays and during weekends
- Responsible for monitoring alarms as they occur on the electronic access system and responding if necessary.

### **4. Facilities Office**

- Responsible for issuing Facilities electronic access cards to contractors and other vendors.
- Responsible for assisting in the troubleshooting and repair of any doors on the electronic access system.

### **5. Auxiliary Services and Special Events Office**

- Responsible for issuing AGH Guest cards.
- Responsible for managing electronic access privileges for college guests staying in Alumni Guest House.

## **Locations controlled by the electronic access system**

### **Residential Buildings**

All exterior doors in the following buildings are controlled by the electronic access system:

- Burton Hall
- Cassat Hall
- Colwell House
- Davis Hall

- Dixon House
- Dow House
- Eugster House
- Evans Hall
- Faculty Club
- Goodhue Hall
- James Hall
- Hunt House
- Musser Hall
- Myers Hall
- Nourse Hall
- Parish House
- Severance Hall
- Wade House
- Watson Hall

Student room doors in Cassat Hall, James Hall, and Evans Hall are controlled by the electronic access system.

## **Academic Buildings**

All exterior doors in the following academic buildings are controlled by the electronic access system:

- Anderson Hall
- Boliou Hall
- Center for Math and Computing
- Cowling Gym
- Goodsell Observatory
- Gould Library
- Hulings Hall
- Laird Hall
- Laird Stadium
- Leighton Hall
- Olin Hall
- Recreation Center
- Skinner Chapel
- Weitz Center for Creativity
- West Gym
- Willis Hall

Some interior doors in the following academic buildings are controlled by the electronic access system:

- Anderson Hall
- Boliou
- Center for Math and Computing
- Goodsell Observatory
- Gould Library
- Hulings
- Laird Hall
- Leighton
- Olin Hall
- Recreation Center
- Weitz Center for Creativity

### **Administrative Buildings**

All exterior doors in the following administrative buildings are controlled by the electronic access system:

- 200 Division Street
- Alumni Guest House
- Bird House (front door)
- Clader House
- Dacie Moses House
- Facilities
- Henry House
- Hoppin House
- Johnson House
- Sayles-Hill Campus Center

Some interior doors in the following administrative buildings are controlled by the electronic access system:

- 200 Division Street
- Alumni Guest House
- Facilities
- Johnson House
- Sayles–Hill Campus Center



**Last Reviewed: Dec 9th, 2019**

Maintained by Auxiliary Services

## **Golf Cart/Utility Vehicle (GCUV) Operation**

### **Purpose**

This policy provides guidelines for the safe operation and use of GCUV (GCUV) at Carleton College. All departments who provide GCUV to employees (including student employees) to fulfill job related duties or to provide transport for individuals with temporary or permanent disability needs are expected to comply with these guidelines.

### **Policy**

GCUV may only be used for official Carleton business by approved drivers. GCUV may not be used for personal business such as home-to-office travel.

### **GCUV Driver Responsibilities**

GCUV operation is governed under Minnesota Statutes and operators are subject to the rules of the road, including stopping, turning and safe operation.

GCUV drivers must have a valid US drivers' license with a satisfactory driving record in accordance with the [Carleton Driving Privileges Policy](#).

- GCUV drivers are responsible for the security of ignition keys during the time that a GCUV is assigned to them. Any time a GCUV is unattended, the ignition should be turned off, and the key removed from the ignition.
- GCUV should not be operated at speeds greater than 10MPH, speeds less than 10MPH may be required if hazardous conditions (rain; rough terrain; pedestrian and/or vehicular traffic) exist. GCUV should not be operated in a manner that may endanger passengers, other individuals or damage Carleton property.
- GCUV drivers are not permitted to use cell phones or wear devices that impede hearing, e.g., stereo headsets, earplugs, etc. while driving.
- GCUV will be operated only on Carleton College property. Whenever possible GCUV should be driven on hard surfaces such as roads and side walks. Avoid driving on any landscaped area unless it is the only available way to gain access to the specific area where work is being performed. If a GCUV must be on a landscaped area it should return to a hard surface as soon as possible.
- GCUV operators will stop at all intersections with limited visibility and then proceed with caution.
- GCUV drivers will use hand signals to signal turns and stops if it is necessary to operating on streets.
- Employees will not operate GCUV registered to other departments unless the supervisor of the department to which the GCUV is registered has granted prior approval.

- GCUV should be operated in such a manner that they do not impede or interfere with normal pedestrian or vehicular traffic flow on sidewalks, ramps or roadways. GCUV must travel in the direction of the flow of traffic and must obey all campus traffic regulations and signs.
- Contractors working on behalf of Carleton must receive a copy of and follow the operating procedures of the GCUV policy.
- GCUV will be operated with the utmost courtesy, care, and consideration for the safety of pedestrians. Pedestrians will be given the right-of-way at all times.
- Never backup without looking to see what is behind the GCUV.
- Never shift gears while the GCUV is in motion.
- GCUV will not be parked:
  - in Fire Lanes
  - in DMV Disabled Parking
  - in Reserved Parking
  - within 20 feet of the main entrance/exit of any building in any manner that would impede the normal flow of pedestrian traffic
- All passengers must be in seats designed for such use. No passengers are allowed to be transported in the truck beds or on the sides of GCUV. Passengers must keep their heads, legs and arms within the cab.
- GCUV drivers are not permitted to pick up unauthorized passengers.
- Each GCUV drivers are responsible for providing timely notification of safety and maintenance concerns to their department supervisor.

## Supervisor Responsibilities

- Supervisors will provide a copy of the GCUV policy to each employee in their department, who operates a GCUV.
- All GCUV drivers must have a valid US drivers' license with a satisfactory driving record in accordance with the [Carleton Driving Privileges Policy](#).
- Departments should provide a minimal amount of hands on training prior to an employee driving a GCUV. Utility Vehicle operators should take the [United Educators Golf Cart Safety training](#). To view the training either log in with your preexisting United Educators information or register by using your name and email address. After that step United Educators will send you a temporary password that you can change to a permanent password and take the course.
- Departments will implement procedures for the safe keeping and monitoring of all GCUV registered to them. Such procedures may include the use of a "sign-out log" for keys.

## Departmental Responsibilities

- GCUV owned by Carleton College will be equipped and maintained with working headlights, and taillights (two red lights, one each located on the opposite sides at the rear of the GCUV that stay on during night operations).
- GCUV purchased prior to 8/1/2005 or GCUV donated or rented for events without headlights

are to be used only during day light.

- GCUV will not be modified in any manner that affects the recommended mode of operation, speed or safety equipment.
- The department of ownership shall ensure that each GCUV is routinely inspected and maintained as recommended by the manufacturer, at least annually.
- The department of ownership will be responsible for timely repairs, if the GCUV cannot be operated safely without repairs, the GCUV will be taken “out of service” until the repairs are completed.
- The department of ownership is responsible for the cost of repairing damage to the Golf Cart/Utility Vehicle caused by regular use or an unpreventable accident.
- The department of ownership is responsible for the cost of repairing damage to the Golf Cart/Utility Vehicle caused by misuse, abuse or a preventable accident.
- The department of ownership is responsible for providing secure storage of the Golf Cart/Utility Vehicle in either a secure structure or a secure fenced-in area overnight or when not in use.

## Reckless Operation and Accident Reporting Process

GCUV drivers observed in violation of the guidelines above or driving in another erratic manner should be reported to Security, ext. 4444.

All accidents involving a GCUV should be reported immediately to the supervisor of the department to which the GCUV is registered and to Security, (ext 4444), regardless of whether property damage or personal injury occurred.

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Last revised February 22, 2021

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For [Faculty](#), [Staff](#), [Students](#)

**Last Reviewed: Feb 22nd, 2021**

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Maintained by Business Office

## Inline Skating

The College encourages inline skating, roller skating, and skate boarding outdoors under conditions where these activities are safe for the participant and other pedestrians, does not disrupt other activities, and does not damage College property. As is the case with bicycles and all other vehicles, safety, courtesy, and consideration of others must always be foremost in the minds of persons using such equipment.

### Outdoors

Because the College is concerned about safety and bears some responsibility for the use of campus property, Security Services is specifically directed, and all others are encouraged, to look out for disruptive or unsafe inline skating, roller skating and skate boarding and to request participants cease the activity or report such instances to Security Services. Recurring problems may result in designating and posting certain areas as off limits to such equipment.

### Indoors

Inline skating, roller skating and skate boarding indoors is disruptive, may be dangerous, and may cause damage in College buildings. Such activities are categorically inappropriate within all Carleton buildings. Those wearing inline and roller skates must remove them upon entering any Carleton building.

Instance of noncompliance will be subject to disciplinary action in accordance with the Student Judicial Code for students and in an appropriate manner as circumstances dictate for all others.

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*Approved on April 22, 2003.*

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For [Alumni](#), [Faculty](#), [Families](#), [General Public](#), [New Students](#), [Prospective Students](#), [Students](#)

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**Last Reviewed: Jan 4th, 2021**

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Maintained by Dean of Students

## Key Guidelines

Carleton College is committed to provide a safe secure environment for faculty, staff, and students as well as convenient access to all workplace, learning, and residential areas.

### I. Purpose

#### a. General Access

- i. Provide safe secure facilities.
- ii. Grant access to those with a demonstrated need.
- iii. Limit liability and risk associated with unapproved access.
- iv. To establish and implement an effective key control set of guidelines.
- v. Issue keys as needed with as little inconvenience as possible.
- vi. Encourage card access versus key access to secure areas.
- vii. Reduce the loss of master keys.
- viii. Retrieve keys after the need for access is lapsed.
- ix. Maintain accurate and up-to-date records of keys and access privileges.

#### b. Minimize Use of Master Keys and Maximize Card Access

- i. Individuals and contractors will be given keys to access only the rooms necessary.
- ii. If access to multiple spaces is necessary, sub-master keys may be given at the discretion and approval of Facilities and Security Services.
- iii. Master keys will rarely be issued and only to those responsible for activities in an entire building. In limited situations, a sub-level master key may be issued to individuals having responsibilities in multiple locations.
- iv. Master keys are to be kept in a secure location on site and not taken home or off college property. An example of a secure area would be a locked office, secured desk, or cabinet.

- v. Doors having card access will be keyed for emergency override use only. Keys will not be issued to individuals for card access doors to encourage card access use. Please refer to Carleton College Electronic Access Guidelines for more information on card access to college buildings.

## II. Responsibilities

### a. Departments

- i. Department heads will approve access to the areas under their responsibility. A Facilities Work Request or email will be sent to Facilities giving authorization to the space and permission to Facilities to issue the appropriate key(s).
- ii. The department head, or his/her designated person, will inform Facilities of any changes in access needs, including position changes within the department, so the appropriate keys are returned and issued to different employees.
- iii. All lost or stolen keys will be reported to Security Services immediately. Security Services will submit an Advocate Report to Facilities to ensure a record is maintained.

### b. Residential Life

- i. Residential Life maintains an accurate record of student residence keys and an accurate database of keys issued to students for residential areas.
- ii. Residential Life immediately reports all lost keys to Security Services who will fill out an Advocate Report.

### c. Faculty, Staff, or Student

The key holder or the department is responsible for paying to rekey the spaces the lost key served. The campus will be returned to the same level of security as it was prior to the keys being lost.

1. A student may pay up to \$300 for any academic space key that is not returned and the department authorizing the key will pay any additional costs associated with rekeying the space. This fee does not include residential spaces.
2. If a college employee loses a key the department will be charged the cost of rekeying the spaces as required.
3. Keys must be returned to the Facilities office when the need for access is over as determined when key was issued. If the key is not returned on time, a late charge of \$50 will be charged to the department for administrative costs for retrieving the key, and proof the key is not lost is required.

Any person that knowingly compromises security by misusing a key will be subject to disciplinary action.

### d. Facilities

- i. The Facilities office utilizes a secure database to maintain an accurate record of all keys and doors on campus. This database will be updated daily.

- ii. The Facilities office maintains data for all staff and faculty key records describing what key each individual has assigned to them. A key agreement must be signed by the staff or faculty person being issued the key when any key changes are requested.

### III. Procedure to Issue and Retrieve Keys

#### a. Issuance of Keys to:

##### i. Faculty and Staff

1. The supervisor will submit a Facilities Work Request or email to Facilities requesting key(s) for the person needing access to the area. You must provide the name and position of the employee, building name, and space access needs. If an email is sent it must be routed through the department head or supervisor responsible for the area.
2. Facilities will notify the individual when the key(s) are ready to be picked up.
3. Keys are distributed in the Facilities Office and the person assigned the key is required to show Carleton College ID when signing for the transfer of responsibility.

##### ii. Students

1. Residential Life staff will be responsible for the care and distribution for student residence keys.
  - An accurate database will be maintained for all keys within Residential Life.
  - All keys will be accounted for at the end of each academic year.
2. Any students needing access to other areas of the campus will follow the procedure outlined in Section III Part a, paragraph i.

##### iii. Rental Property

All keys will be distributed by the Employee Rental Housing Coordinator.

1. The Coordinator will maintain an accurate database of all keys for employee rental housing.
2. Any lost key will be reported to the Housing Coordinator as soon as it is discovered.

##### iv. Contractor, Vendor, Consultant, and Service Provider

Facilities will distribute and monitor all keys for this group.

1. The project manager will submit a completed [Appendix A form](#) to the Facilities Office using the [facilities\\_services@carleton.edu](mailto:facilities_services@carleton.edu) email address. The form may be found attached to this policy.

1. The information required for the completion of the form is as follows:

- Requester Name
  - Project name
  - Start and completion dates of the project
  - The hours the contractor is planning to work
  - Project manager name
  - Contractor name and authorized key holder with cell phone numbers
  - Areas the contractor will need access to when performing the work
2. Upon arrival to campus the individual will proceed to the Facilities Office to sign in and sign for approved keys.
  3. All keys must be returned to the Facilities office one-half hour before the end of the campus office work day.
  4. If requested, a lock box is available allowing the keys to be kept in a secured area in the Facilities building.
  5. Under no circumstances may a visitor or contractor keep the keys overnight or take keys off College property.
  6. All keys must be returned to the Facilities office when the work or need for access is completed.

## **b. Retrieval of Keys**

### **i. Faculty and Staff**

#### **1. Voluntary resignation**

- Human Resources will notify Facilities and a key report will be generated indicating what keys have been assigned to the employee. The report will be given to Human Resources.
- All keys listed on the report will be collected by Human Resources at the time of the exit interview and returned to Facilities.

#### **2. Involuntary Termination**

- Human Resources will notify the Maintenance Manager requesting a key report prior to the termination. Confidentiality will be maintained between the Maintenance Manager and Human Resources.
- The keys will be collected at the time of the termination and returned to Facilities.

### **ii. Students**

1. Students will return non-residential keys to the Facilities office within two business days once the need for access has ended.
2. Residential keys will be returned to the Residential Life office at the time of check out.

### iii. **Rental Property**

All keys will be collected by the Rental Housing Coordinator at the time of check out.

## IV. **General Administration**

- a. All permanent key records will be maintained by Facilities.
  - i. A computerized maintenance system will track the transfer of keys to individuals or Residential Life.
  - ii. The system will be updated daily or as needed to maintain accurate records.
- b. Facilities will audit Residential Life once per year to verify all keys are tracked properly per procedure and policy.
- c. The Director of Facilities, in consultation with the Director of Security Services and the Vice President and Treasurer, will determine if an academic/administrative space will require rekeying in the event a building master key or other safety sensitive key is lost. The Director of Residential Life will be consulted if a residential building is under consideration to be rekeyed.
- d. Individuals are not allowed to give or loan their assigned keys to others, including other members of the Carleton College community.
- e. Individuals will not use their keys to grant access to non-authorized individuals.
- f. Key holders entering a building or space are responsible for securing the space and will not prop doors open leaving the space unsecure.
- g. Keys that are broken or worn may be returned to Facilities for replacement at no cost.
- h. Grand master and building master keys will not be allowed on personal key rings and/or taken off campus. These high security keys will be secured nightly in an office where the respective employee works. Only keys to building front doors and personal offices are allowed on personal key rings. This practice minimizes the risk to people and property by reducing exposure when a key is lost.
- i. Key holders must not duplicate any keys associated with the campus. Disciplinary action will result for unauthorized duplication or possession of an unauthorized duplicate key.
- j. Any keys found must be returned to Facilities.

## V. **Frequently Asked Questions**

### **1. *Can keys issued to a department be re-issued to individuals?***

No, keys are not issued to a department. All keys are issued to an individual.

### **2. *Can a department re-assign keys from one individual to another when responsibilities change?***

No, keys cannot be transferred from one person to another without involving Facilities. The person no longer needing access will return the key to Facilities and this key will be removed from that person's inventory. The new person requiring access should submit a request to Facilities and a key will be assigned to them and noted in the database.



**3. Does the individual signing for the key have to pick up the key in person?**

Yes.

**4. At what level does Security Services need to approve a request for keys?**

Security Services may be consulted on requests involving a master key.

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Last revised July 9, 2013

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For [Faculty](#), [Staff](#), [Students](#)

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**Last Reviewed: Apr 8th, 2021**

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Maintained by Facilities

## Slack Lines / Tightropes

Carleton College works to provide a safe environment for our students and protect College property. Slack lining can be dangerous if done in a reckless manner. Slack lines can also pose a risk to other students when left between trees overnight.

Any student wishing to install a slack line on campus must obtain permission from Carleton's Ground Manager in the Facilities Office prior to installing the slack line. Slack lines cannot be more than 3 feet above the ground. Slack lines must be removed before dark on the same day as installation. Any slack line found unattended will be removed and discarded.

Students assume the risk of injuries associated with slack lining or tightrope walking on the Carleton College Campus. Risks of injuries include, but are not limited to, injuries sustained falling from the slack line (i.e., broken bones, fractures, dislocations, sprains, etc.), injuries sustained installing or removing the slack line, (i.e., rope burns, lacerations, broken bones, dislocations, sprains, etc.) and any and all injuries sustained as an observer or casual participant.

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Last revised September 12, 2011

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For [New Students](#), [Prospective Students](#), [Students](#)

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**Last Reviewed: Feb 2nd, 2022**

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Maintained by Student Activities

## Smoking

Carleton College recognizes that using tobacco products is harmful to the health of tobacco users and that exposure to second-hand smoke poses a health risk to non-smokers. The College complies with all applicable state and federal regulations pertaining to smoking.

The College acknowledges that smoking is a personal choice and that some students, faculty and staff choose to smoke.

The College is committed to providing educational programs to assist its students and employees in making healthy lifestyle choices.

## Public Spaces and Private Offices

Smoking and the use of e-cigarettes (which includes vapes, pens, hookah, etc.) is prohibited in all indoor public spaces, including but not limited to: all classrooms, lounges, bathrooms, vending areas, hallways, indoor athletic facilities, dining halls and social spaces such as Sayles-Hill “Great Space” and The Cave. Smoking and the use of e-cigarettes is also prohibited in private offices. There are designated smoking areas outdoors.

## Residential Living Spaces

Smoking and use of e-cigarettes is prohibited in all residential facilities including student rooms, restrooms, lounges, hallways, and stairwells.

*All entrances, exits, ground floor windows, and areas around air intake vents of campus buildings are to be smoke free.* To prevent the problem of building entryways from becoming smoke-filled, those who smoke must be at least 50 feet from the entrance. This policy is concurrent with Minnesota law.

## Student Violations

Students who violate any aspect of the smoking policy will receive disciplinary sanctions and life safety fines.

Minimum fines are:

- First violation: \$250 fine/per person
- Second violation: \$500 fine/per person
- Third violation: \$1,000 fine/per person

Any student found in violation of the [Alcohol and Other Drugs Policy](#) (e.g., marijuana) may also be found in violation of the smoking policy.

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*Smoking Policy adopted February 1996.*

*Approved by College Council, May 2002. Approved by the Executive Committee of the Board of Trustees June 2002.*

*Revision approved by College Council February 23, 2004. Approved by the Board of Trustees June 2004.*

*Reviewed and updated August 2011.*

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Last revised August 1, 2011

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For [Alumni](#), [Faculty](#), [Families](#), [General Public](#), [New Students](#), [Prospective Students](#), [Staff](#), [Students](#)

**Last Reviewed: Aug 18th, 2020**

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Maintained by Human Resources

## Student Motor Vehicles and Parking

**All student motor vehicles**, including students living in non-Carleton owned housing (Northfield Option and hotels), are required to be registered each academic year with the college. Applications for permits must be submitted online to the Dean of Students office. A limited number of registration approvals are available, maximum one per student.

First year students are not be allowed to have vehicles on campus. Exceptions may be made for extenuating circumstances (documentation may be required). Reasons such as the need to drive to campus, a job off campus, or wanting to visit relatives in the area are not considered extenuating circumstances.

## Regulations/Registration

**This policy shall be in effect on the first day of classes fall term up to the first day of winter break, and from the first day of classes winter term through final exams spring term, including midterm breaks and spring break (except for the sections regarding moving violations and parking in restricted areas, which apply all year).**

- While attending Carleton College, students are not permitted to drive or possess motor vehicles (cars, trucks, motorcycles, and other such licensable motor vehicles) within the city limits of Northfield except as outlined in the policy. Those students whose applications are received after all available spaces have been assigned will be asked to remove their motor vehicles from Northfield.
- Applications for student permits are required, and are to be submitted via the online [Student Vehicle Registration Application](#). The Dean of Students office will review all applications. Students granted permission to keep a vehicle in Northfield will be issued a parking permit which must be picked up at Campus Services and affixed to the rear bumper of the vehicle on or before the date specified on the approval.
- A fee of \$75 per term or \$200 for the full academic year will be charged for parking a motor vehicle on campus. If students have arranged to store vehicles elsewhere which provides an off-street parking space (e.g., renting a garage) they may do so. The vehicle must still be registered with the college.
- Students temporarily possessing a motor vehicle for a contiguous time period of up to two weeks must obtain a temporary parking permit. These permits may be applied for using the online [Student Vehicle Registration Application](#). Vehicles issued a temporary permit must park in the lot assigned by the Dean of Students office (typically the Rec Center parking lot). There is no fee for a temporary parking permit. Students are limited to one temporary parking permit per academic term.
- Students leaving their vehicle on campus during the winter or summer breaks must obtain permission and parking assignment from the Dean of Students Office. Failure to obtain such permission may result in the owner being responsible for necessary towing and storage fees.
- Students living in non-Carleton owned housing off campus must be provided at least two off-street parking spaces by their landlord, therefore up to two parking permits may be issued by the college for each residence. Vehicle registration for this category is \$25 per term.
- Students who use personal vehicles for college business are advised that by law every motor vehicle which is operated on the public roads, streets and highways in Minnesota must be covered by proper no-fault and liability insurance. Under the financial responsibility law for the State of Minnesota, an owner is legally responsible for their own automobile when the car is

being used by a second party. The owner becomes liable for any negligence of the driver of the car. For this reason we ask that all faculty, staff, and students who use or loan their cars for authorized college trips be certain that satisfactory limits of insurance for bodily injury, property damage, and medical payments are carried.

## Where to Park

- Your assigned parking location is the only place on campus you are allowed to park during the hours of 7 a.m. to 3 p.m., Monday through Friday. Vehicles with off-off-campus (Northfield Option) permits may not park anywhere on campus during these hours. Outside of these hours, any legal parking space on campus may be used.
  - During winter break you may park in any designated student parking spot during the hours of 7 a.m. to 3 p.m.
- Per college policy, students cannot park vehicles on city streets between the hours of 2 a.m. and 6 a.m. every night of the week.
- In addition, **City of Northfield parking regulations** state (1) no person shall park a vehicle in one space upon a street or municipally owned parking area for a period exceeding 48 consecutive hours, and (2) there shall be no parking on city streets between the hours of 2 a.m. and 6 a.m. from November 15 until March 15. Any citations for violations of City of Northfield regulations will be issued by Northfield Police.

## Citations/Complaints/Fines

Fines imposed for violations of the Student Motor Vehicle Policy or Carleton parking regulations will be due and payable in the Business Office or the Hub upon receipt by the student of a vehicle citation.

### Current fines include:

- **Possession of an unregistered vehicle:** first offense \$40 fine; second offense \$60 fine; third offense \$80 fine; subsequent offenses \$100 fine, tow, and/or loss of parking privileges on campus.
- **Parking in a handicap stall:** first offense \$80 fine; second offense \$100 fine; third offense \$120 fine; subsequent offenses \$150 fine, and/or tow.
- **Parking on a city street between 2 a.m. and 6 a.m. or parking in an area other than assigned lot or where otherwise restricted:** first offense \$10 fine; second offense \$20 fine; third offense \$40 fine; subsequent offenses \$60 fine, tow, and/or loss of parking privileges on campus.
- **Parking in a fire lane:** first offense \$40 fine; second offense \$60 fine; third offense \$80 fine; subsequent offenses \$100 fine, tow, and/or loss of parking privileges on campus.
- **Careless or reckless driving on any campus road or walkway:** first offense \$40 fine; second offense \$60 fine; third offense \$80 fine; subsequent offenses \$100 fine and/or loss of right to operate a motor vehicle on campus for a period of one year.
- **Failure to display a valid permit:** first offense \$10 fine; second offense \$20 fine; third offense \$40 fine; subsequent offenses \$60 fine.
- **All other violations of Carleton parking regulations:** first offense \$10 fine; second offense

\$20 fine; third offense \$40 fine; subsequent offenses \$60 fine and/or tow.

When a violation is accompanied or characterized by other behavior such as careless driving, driving while under the influence of alcohol or other drugs, or other behavior in violation of the Community Standards Policy, the student may be charged with additional violations of the Community Standards Policy and/or Minnesota State Statutes.

All complaints against students concerning Student Motor Vehicle Policy violations shall be submitted to the administrator of that policy. Complaints may be filed by any member of the Carleton community, as well as by any resident of Northfield. Reports should include the following information if available: a description of the vehicle, its license number and state, the location, time, and date of the alleged violation, and details concerning the nature of the incident. Security personnel shall have the right to question any students concerning their relationship to a specific vehicle should a reasonable suspicion of a violation exist.

If a student wishes to appeal a citation, an in-person request must be made to Security Services for consideration within five academic days after delivery of the citation. The right to appeal is relinquished by failing to contact Security Services within the prescribed time period.

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Last revised December 12, 2012

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For [Families](#), [New Students](#), [Prospective Students](#), [Students](#)

**Last Reviewed: Aug 17th, 2021**

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Maintained by Dean of Students

## Surveillance Camera Guidelines

### Purpose

Carleton College is committed to enhancing the quality of life of the campus community by integrating the best practices of safety and security with technology. A critical component of a comprehensive security plan is the utilization of a surveillance camera system. The surveillance of public areas is intended to deter crime and assist in protecting the safety and property of the College. It is an extension of the college's law enforcement function even though it is managed by Auxiliary Services.

These guidelines address the College's safety and security needs while respecting individual privacy of those attending, working or visiting Carleton College. To ensure the protection of individual privacy rights and related state and federal laws, this statement formalizes the process of installing surveillance equipment on College property. Additionally, these guidelines pertain to the viewing, retention, dissemination, and destruction of recordings.

### Installation Procedures and Locations

The use of surveillance cameras is limited to uses that do not violate a person's "reasonable expectation of privacy", as that term is defined by law. All surveillance cameras, including those in temporary locations or for active monitoring, will only be installed with the advance approval of the Director of Security Services and the appropriate College vice president. The College's use of surveillance cameras for monitoring or recording must be used in a professional, ethical, and legal

manner consistent with all existing College policies. Although not legally required to do so, the College will inform student employees when surveillance cameras are utilized in the workplace.

The College will limit camera positions and views of certain areas. Any view within a residential area will be no greater than what is available with unaided vision. Surveillance cameras will not view private bedrooms, bathrooms, locker room dressing/shower areas, offices, classrooms not used as a lab, or areas through windows. Surveillance cameras will be installed and configured to prevent tampering with or duplicating recorded information. All new installation of surveillance cameras must connect to the College's main system.

## Viewing

Only authorized personnel, as determined by the Director of Security Services and appropriate College vice president, will be involved in, or have access to, surveillance monitoring. The existence of this policy does not imply or guarantee that cameras will be monitored in real time 24 hours a day, seven days a week, however the College reserves the right to do so.

## Retention and Release of Information

Images obtained through surveillance monitoring or recording will be retained for a length of time deemed appropriate for the purpose of monitoring, but not to exceed 90 days, unless such images have historical value, or are being used for a criminal and/or judicial investigation in accordance with this policy. Surveillance recordings will be stored in a secure location with access by authorized personnel only.

College personnel are prohibited from using or disseminating information acquired from surveillance cameras except for official purposes. All information and/or observations made in the use of surveillance cameras are considered confidential and can only be used for official College and law enforcement purposes. Information and results obtained through surveillance monitoring or recording will only be released when authorized by the Director of Security Services and the appropriate College vice president.

All requests from sources external to the College for the release of information and results obtained through surveillance monitoring or recording must be submitted to the Director of Security Services.

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Last revised July 1, 2013

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For [Alumni](#), [Faculty](#), [Faculty Emeriti](#), [Families](#), [General Public](#), [New Students](#), [Prospective Students](#), [Staff](#), [Students](#)

**Last Reviewed: Dec 9th, 2019**

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Maintained by Auxiliary Services

## Unlawful Use of Drugs and Alcohol

### Introduction

The Drug-Free Schools and Communities Act Amendments of 1989 (Public Law No. 101-226) require colleges and universities to adopt a program to prevent the use of illicit drugs and the abuse of alcohol by students and employees.

See [Drug-Free Workplace policy](#).

All Colleges and universities must give notice to each student and employee that unlawful use of drugs and alcohol is prohibited, describe applicable legal sanctions and health risks, list counseling programs available, and advise students and employees that violation of this policy could lead to penalties up to and including expulsion from the College, termination of employment, and/or referral to civil authorities for prosecution.

The College is committed to maintaining a campus and workplace environment where members may live, learn, and work free of the deteriorating effects of drug and alcohol abuse. To this end the College carries out drug and alcohol abuse education and prevention programs.

### **Policy Requirements**

The unlawful possession, use or distribution of illicit drugs and alcohol by faculty, staff, or students on College property or as part of any of its activities is absolutely prohibited. Carleton College grants permission for reasonable and lawful consumption of [alcohol at registered College events](#) when served by a licensed caterer such as Bon Appétit.

### **Legal Sanctions**

In addition to disciplinary sanctions by the College, students and employees who violate the law maybe subject to criminal prosecution under federal, state and local laws that specify imprisonment and fines for conviction of alcohol and drug-related offenses. The seriousness of the offense and penalty imposed generally depends on the type and amount of substance involved. The following links are provided to ensure awareness of legal sanctions:

[Provisions of the Federal Controlled Substance Act, 21 U.S.C. 801 et al](#)

[Federal Trafficking Penalties](#)

[MN Controlled Substances Laws and Sanctions](#)

[MN Underage Alcohol Offenses](#)

[Northfield City Codes & Ordinances](#)

### **College Consequences**

Any faculty, staff, or student found in violation of this policy will be subject to disciplinary actions by the College up to and including expulsion from the College, termination of employment, and/or referral to civil authorities for criminal prosecution. The College may also require participation in an appropriate drug or alcohol assistance or rehabilitation program.

### **Risks to Life and Health**

Abuse of drugs and alcohol leads to impaired behavior and judgment, a jeopardizing of relationships, and the likelihood of deteriorated work performance. Associated health risks include increased risk of accidental injury or death, depression, suicide, brain damage, heart and respiratory failure, liver damage, and sexually transmitted disease due to impaired sexual decisions.

### **Counseling, Treatment and Rehabilitation**

Drug or alcohol counseling, treatment and rehabilitation/re-entry programs for faculty, staff, and students are available from a variety of sources. Anyone who recognizes a personal drug or alcohol problem, is concerned about another student or co-worker, or who may wish to know more about drug and alcohol abuse may contact:

#### **Internal Sources**

##### **Students**

Dean of Students Office, ext. 4248 or 4075

Residential Life, ext. 5465

Student Health and Counseling, ext. 4080

[Office of Health Promotion](#), ext. 5246 or 5587

## Faculty and Staff

Dean of the College, ext. 4303

Human Resources Office, ext. 7471

[Employee Assistance Program](#) with Health Partners

## External Sources

[Alcoholics Anonymous](#)

[Omada Behavioral Health Services](#) HCI in Northfield

[Rice County Mental Health & Chemical Dependency](#)

[Dakota County Chemical Health](#)

[Northfield City Codes & Ordinances](#)

## Biennial Review

Human Resources, the dean of students, and the dean of the college will conduct a biennial review of the College's Drug and Alcohol Abuse Prevention Program to determine its effectiveness, implement needed changes, and insure consistent enforcement of disciplinary sanctions.

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Last revised January 1, 2003

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For [Faculty](#), [Staff](#), [Students](#)

**Last Reviewed: Jan 13th, 2020**

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Maintained by Human Resources

## Workplace Safety

Carleton College is responsible for furnishing its employees a safe place of employment, free from hazards, causing or likely to cause, injury or serious physical harm. For the safety of its students, faculty, staff, and guests, Carleton will exercise its right to prohibit firearms on campus, including at all public events. Each employee has an obligation to comply with all safety and health standards, rules, regulations or orders issued by the College as well as those of the Federal Occupational Safety and Health Act. Working conditions judged to be unsafe should be immediately reported by the employee to his or her supervisor or department head, and the supervisor then is responsible for reporting the problem to the director of facilities for evaluation and, if needed, corrective action. Detailed provisions of the Act are available in the Facilities Management Office.

See information regarding [Disability Access and Accommodations](#).

## Employee Vaccination Policy

### Purpose

The health and safety of our employees and meeting our obligation to provide and maintain a workplace that is free of known hazards is paramount. Accordingly, we are adopting this policy to safeguard the health of our employees; students; and the community at large from infectious diseases, such as COVID-19 and influenza, that may be reduced by vaccinations.

This policy will comply with all applicable laws and is based on guidance from the Centers for Disease Control and Prevention, Minnesota Department of Health and local health authorities, as applicable.



## Scope

All employees are required to receive vaccinations and vaccine boosters as determined by Carleton College unless a reasonable accommodation is approved.

Employees not in compliance with this policy will be placed on a voluntary, unpaid leave and their status will be evaluated periodically. While on leave, employees will be subject to Carleton's standard leave policies and the leave duration will be based on operational feasibility. Although we will attempt to return employees to a similar position, Carleton is unable to guarantee a position will be available.

## Procedures

Carleton College's Office of Human Resources maintains and publicizes a list of the vaccines that this policy encompasses and the applicable deadline(s) for complying with this policy.

Before the applicable vaccination deadlines, all employees must either (a) establish that they have received all recommended doses of the designated vaccine(s) and the recommended delay period has passed; or (b) obtain an approved exemption as an accommodation. The process for seeking an accommodation is explained below.

Employees will be required to provide documentation to establish that they have received the required vaccination(s), which could include a copy of a vaccination card or other verification from an authorized health care provider. Employees should not include any medical or genetic information when presenting proof of vaccination.

Whenever possible, Carleton College will assist employees by providing on-campus access to immunizations or identifying sites where employees may receive the vaccinations. Vaccinations should be run through employees' health insurance where applicable. Employees may submit for reimbursement the cost of a vaccination not provided by the College or covered by health insurance.

Employees will be paid for reasonable time taken to receive vaccinations. For vaccinations received off-campus, employees are to work with their supervisor to schedule appropriate time to comply with this policy.

## Reasonable Accommodations

Employees in need of an exemption from this policy due to a medical reason, or because of a sincerely held religious belief, must submit a completed [Accommodation Request Form](#) to Human Resources to begin the interactive accommodation process as soon as possible after vaccination deadlines have been announced. Although Carleton College encourages employees to suggest specific reasonable accommodations, the College is not required to make the specific accommodation requested and may provide an alternative effective accommodation, to the extent any reasonable accommodation can be made without imposing an undue hardship on the College or posing a direct threat to the employee or others in the workplace.

Carleton College makes determinations about requested accommodations and exemptions on a case-by-case basis considering various factors and based on an individualized assessment in each situation. Carleton College strives to make these determinations expeditiously and in a fair and nondiscriminatory manner and will inform employees once a determination is made. Employees

should contact Human Resources with any questions about accommodation or exemption requests.

Employees granted an accommodation or exemption under this policy may be required to use additional personal protective equipment, submit to regular PCR testing as provided by Carleton College, or take other actions as directed to mitigate risk to faculty, staff, and students whenever they are on campus.

## **GINA Safe Harbor**

The Genetic Information Nondiscrimination Act of 2008 (GINA) prohibits employers and other entities covered by GINA Title II from requesting or requiring genetic information of an individual or family member of the individual, except as specifically allowed by this law. To comply with this law, Carleton College requests that employees refrain from providing any genetic information when responding to any request for information under this policy.

“Genetic information,” as defined by GINA, includes:

- An individual's family medical history.
- The results of an individual's or family member's genetic tests.
- The fact that an individual or an individual's family member sought or received genetic services.
- Genetic information of a fetus carried by an individual or an individual's family member or an embryo lawfully held by an individual or family member receiving assistive reproductive services.

## **Policy Modification**

Government and public health guidelines and restrictions and business and industry best practices regarding COVID-19 and COVID-19 vaccines are changing rapidly as new information becomes available, further research is conducted, and additional vaccines are approved and distributed. Carleton College reserves the right to modify this Policy at any time in its sole discretion to adapt to changing circumstances and business needs, consistent with its commitment to maintaining a safe and healthy workplace.

## **Enforcement and Non-Retaliation**

Failure to comply with or enforce this Policy may result in discipline, up to and including termination of employment.

Carleton College prohibits any form of discipline, reprisal, intimidation, or retaliation for reporting a violation of this Policy or any other health and safety concern. Employees also have the right to report work-related injuries and illnesses, and Carleton College will not discharge or discriminate or otherwise retaliate against employees for reporting work-related injuries or illnesses or good faith health and safety concerns.

## **Collective Bargaining Agreement**

Employees covered under a Collective Bargaining Agreement should consult the terms of their collective bargaining agreement.

## Current vaccine requirement(s)

1. Effective August 1, 2021, all employees will be required to be fully vaccinated against COVID-19. Employees may choose any COVID-19 vaccination approved by the World Health Organization and will be required to submit proof of vaccination. Employees are considered fully vaccinated 14 days after the final dose of the vaccination series.
2. Effective October 2021, all employees working between October - April will be required to be vaccinated against seasonal influenza. Employees may receive any FDA-approved, licensed, age-appropriate flu vaccine (IIV, RIV4, or LAIV4) with no preference for any one vaccine over another. This includes both the flu shot and mist.
3. Effective January 21, 2022, all employees are required to receive a booster dose for the COVID-19 vaccine 6 months after completing the primary vaccination series for Pfizer or Moderna, or 2 months after receiving a Johnson & Johnson vaccination. Employees are required to get and [report](#) their booster dose within 14 days of reaching eligibility.

## Additional Resources

- [CDC - Seasonal Flu Shot](#)
- [CDC - Misconceptions about Seasonal Flu and Flu Vaccines](#)
- [MDH - Influenza](#)
- [Mayo Clinic- Flu Shot: Your best bet for avoiding influenza](#)
- [CDC - Safety of COVID-19 Vaccines](#)
- [CDC - COVID-19 Vaccine Information for Specific Groups](#)
- [MDH - COVID-19 Vaccine Basics](#)
- [Mayo Clinic - COVID-19 vaccines: Get the facts](#)
- [Yale Medicine - Comparing the COVID-19 Vaccines: How Are They Different?](#)
- [WHO - COVID-19 vaccines](#)

## Carleton College Infectious Disease Control Policy

The College will take proactive steps to protect the workplace in the event of an infectious disease outbreak. It is our goal during any such time period to strive to operate effectively and ensure that all essential services are continuously provided and that faculty, staff and students are safe.

[The Infectious Disease Team](#) will monitor events and share counsel concerning an infectious disease outbreak.

College leadership may add new relevant policies, practices or guidelines or modify existing ones as needed in response to an outbreak. Specific instructions and requirements may be issued on topics such as:

- **Hygiene**
- **Staying Home When Ill**
- **Requests for Medical Information and/or Documentation**

If an employee shows symptoms of being ill or has been exposed to an infectious disease, we

may request information from a health care provider to show whether an absence relates to the infection and when it is appropriate to return to work.

- **Confidentiality of Medical Information**

Medical information will be treated as a confidential medical record. We will limit the disclosure of medical information to supervisors, managers, first aid and safety personnel, and government officials as required by law.

- **Limiting Travel**
- **Remote Work**
- **Social Distancing**

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Last revised June 4, 2021

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For [Faculty](#), [Staff](#)

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**Last Reviewed: Jun 4th, 2021**

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Maintained by Human Resources

Academic Regulations & Procedures

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**Buildings & Grounds**

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College Governance

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Communications

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Community

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Employment & Benefits

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Events

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Faculty Appointments

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Financial

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Health & Safety

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Housing & Residential Living

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Information Technology, Documents, & Records

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Research

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Travel & Transportation

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[Student](#), [Faculty](#), and [Staff](#) handbooks. These policies and guidelines are subject to change.

If you have questions or corrections, please email [campus-handbook.group@carleton.edu](mailto:campus-handbook.group@carleton.edu).

[Campus Handbook Archive](#) • [Tools for Policy/Guideline Maintainers](#)

This page last updated 28 October 2016.

[Login](#)

# College Governance

## Board of Trustees

The Board of Trustees, according to the College's Articles of Incorporation filed with the State of Minnesota on December 17, 1866, is responsible for the "perpetual existence" of Carleton College. Currently a group of approximately 31 men and women, alumni and non-alumni, meet as a full Board on campus three times a year. Much of the work of the Board is done by ten standing committees. Individual trustees frequently participate in campus activities. The Board's principal duties:

1. It "oversees and approves the kind of education offered and makes certain that its quality meets the highest standards possible." The Board thus approves major policies and programs of the College.
2. Since the Board is responsible for the acquisition, conservation, and management of the College's funds and properties, it approves budgets, investments, fund raising goals, and plans for significant physical improvements.
3. It is ultimately responsible for the selection and replacement of the President of the College, although at Carleton faculty, staff, students and alumni traditionally play a part in presidential selection. The Board elects the chair, vice chairs, secretary, and treasurer and approves the granting of degrees, honorary degrees, and faculty tenure, promotion, and leaves of absence.
4. As a private, independent college, Carleton is governed by many State and Federal laws and regulations; its tax-exempt status and other conditions essential to its existence depend on compliance with these legal requirements. The trustees have ultimate legal accountability for the College's adherence to its legal responsibilities.
5. Individual trustees have an obligation to contribute in whatever way possible and appropriate to the promotion of the College's objectives. The trustees, who have obtained a wide range of professional, business, and academic experience, serve both as advisors and as a bridge between Carleton and the wider society.

The Board of Trustees does not involve itself in the day-to-day functioning of the College, delegating its management to the President and the President's staff. They keep the Board abreast of the work of campus committees and of the College Council. The Board may act on Council decisions, although the Board need not respond to every decision taken by the Council. One Board member sits on the Council as a non-voting observer. Notwithstanding the Board's practice of delegation, members do seek to maintain a "feel" for the College through association with faculty, students, and administrative staff.

Periodically trustee committees meet with campus groups. The Academic Affairs Committee regularly invites faculty members to its meetings. The Student Life Committee serves as a point of liaison between the Board and students on campus. While groups of trustees may discuss particular issues brought to them by campus organizations, the Board as a whole will not normally issue official

statements in response to questions or petitions arising independently of the governance system. The Board makes a practice of not concerning itself, as a Board, with issues that do not bear directly on its responsibilities for Carleton College. Official actions of the Board are usually reported to the community by the President of the College, or the Secretary of the Board, through the College Council, *The Carletonian*, or other appropriate form of announcement.

The Board elects its own members, who serve four-year terms. After two successive four-year terms, Trustees must be off the Board for at least one year after which they are eligible for possible re-election to the Board for up to two additional four-year terms. In addition there are also several special trustee categories.

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For [Faculty](#), [Staff](#), [Students](#)

**Last Reviewed: Oct 4th, 2021**

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Maintained by Office of the President

## **Bylaws of the Carleton College Faculty**

The Bylaws of the Faculty describe the procedures by which the faculty fulfills its responsibility for formulating and implementing the educational policy of the College and its other responsibilities for working efficiently and effectively with other constituencies of the College. Authority and ultimate management of all operations of the College rest with the Carleton Board of Trustees, as indicated by Minnesota Statutes Section 317A.201. In its statement of Board responsibilities, the Carleton Board of Trustees has delegated responsibility for academic affairs to the President and the faculty.

### **ARTICLE I**

#### **Membership on the Faculty**

The Carleton College Faculty consists of those persons, and only those persons, authorized to teach on campus as instructors of record. The College makes faculty appointments and promotions as described in the *Faculty Handbook* in the section titled "Faculty Appointments." Certain staff members also hold faculty rank, enabling them to serve occasionally as instructors of record.

### **ARTICLE II**

#### **Voting Rights**

A. The following persons are entitled to vote at faculty meetings and in faculty elections:

1. tenured and tenure-track faculty members, both full-time and part-time, except those serving in administrative positions without teaching duties;
2. PEAR faculty members, both full-time and part-time;
3. faculty members on continuing appointment, both full-time and part-time;
4. any other faculty members, as defined in Article I, during terms in which they teach at least one six-credit class (or the equivalent).

B. As stated in *Robert's Rules of Order*, the faculty member who presides over the faculty meeting shall vote only when that vote would make a difference in the result, i.e., to create or break a tie.

C. No proxy votes are allowed.

D. Unless otherwise noted, the winner(s) of each election will be determined by Borda count method, provided that any quorum requirement is satisfied.

**ARTICLE III**  
**Officers of the Faculty**

A. President of the Faculty

The faculty shall elect a President of the Faculty, who shall be a tenured member of the faculty or one on continuing appointment in PEAR. The duties of the president of the faculty shall include (1) presiding at meetings of the faculty; (2) serving as an *ex officio* member, with vote, of the Faculty Affairs Committee; (3) preparing the agenda for faculty meetings; (4) at the invitation of the president of the College, serving as a member of the College's Administrative Council; (5) facilitating communication between faculty members and others in various public and private matters; (6) serving as a representative of the faculty in various public and private venues; (7) serving to facilitate communication between the faculty and the Board of Trustees by attending trustee meetings with the privilege of the floor but without vote.

The faculty shall elect the President of the Faculty to a three-year term by mail or electronic ballot majority vote during the Winter Term preceding the Fall-Term commencement of the term of office. Every faculty member who will be tenured or on continuing appointment in PEAR and on campus during all three terms of the first year in office is eligible to be elected President of the Faculty.

B. Secretary of the Faculty

The Faculty Affairs Committee shall appoint a Secretary of the Faculty, who shall record and publish the minutes of meetings of the faculty and preserve permanent copies of those minutes and other relevant documents distributed before or during faculty meetings.

C. Parliamentarian of the Faculty

The president of the faculty shall appoint a member of the faculty to serve as Parliamentarian of the Faculty during faculty meetings. The parliamentarian shall give interpretations of procedure when requested to do so by the presiding officer, or on his or her own volition. Any interpretation by the parliamentarian shall hold unless it is overruled by a two-thirds majority of those faculty members present and voting.

**ARTICLE IV**  
**Administrative Functions of the Faculty**

A. Adoption of Resolutions

The faculty shall be the final on-campus voting authority on all matters of educational policy. The faculty may adopt resolutions originating from other sources, such as its own and other College committees.

B. Maintenance of the *Faculty Handbook*

The faculty shall be the final on-campus authority for the content of the Faculty Handbook sections on "Appointment to the Faculty" and "Policies and Procedures Concerning Terms of Appointment and Tenure." All proposed changes to the content of the "Appointment to the Faculty" and "Policies and Procedures Concerning Terms of



Appointment and Tenure” sections of the Faculty Handbook shall be presented to the faculty by the Faculty Affairs Committee.

### C. Faculty Meetings

At its meetings, the faculty hears reports and announcements from its committees and from representatives of other College constituencies, adopts resolutions, debates proposals and issues facing the College that affect educational policy or faculty life at the College, and may conduct elections (see section IV.D.4).

### D. Membership on Committees

The faculty’s work is done principally through its own elected committees and through its elected and appointed representation on other College committees.

1. The faculty shall elect members to the Faculty Personnel Committee, the Education and Curriculum Committee, the Faculty Affairs Committee, the Faculty Grants Committee, the College Council, the Budget Committee, and the Faculty Judiciary Committee.
2. Through its Faculty Affairs Committee (FAC), the faculty shall appoint members to other standing College committees (including, but not limited to, the Commencement and Honorary Degrees Committee and the Academic Standing Committee) in a manner determined by the FAC.
3. The Faculty Affairs Committee may also appoint and the faculty may also elect committees and representatives to committees created for limited and clearly specified purposes not falling under the jurisdiction of standing committees.
4. The faculty delegates the method of election of faculty representatives to all committees to the Faculty Affairs Committee (FAC). Normally nominations and elections will be conducted on line, using a secure balloting system. The election administrator will be the chair of the FAC or, in her/his absence, another member of that committee. Only members of the FAC will have access to voting data. If the FAC decides that circumstances warrant, elections and/or nominations may be carried out at faculty meetings using paper ballots. In all cases the confidentiality of voters will be preserved to the fullest extent compatible with the election process. The totals in faculty elections are not made public.

### E. Honorary Degrees

Upon recommendation of its Commencement and Honorary Degrees Committee, the faculty shall recommend to the Executive Committee of the Board of Trustees candidates to be awarded honorary degrees.

1. Normally, a candidate recommended for an honorary master’s or doctorate degree will have some connection with Carleton. However, one honorary degree each year may be awarded to an individual of exceptional merit who does not have a Carleton connection. Honorary master’s and doctorate degrees will normally be awarded at Commencement and never *in absentia*.
2. The faculty may recommend that a student in good standing at the College who dies before graduation be awarded an honorary B.A. degree.

3. Faculty members will hold the names of persons recommended for honorary degrees in strictest confidence until the College has publicly announced these names.

#### F. Bachelor of Arts Degrees

The faculty, through its Academic Standing Committee, shall consider all candidates for undergraduate degrees and recommend to the Board of Trustees all who have complied with the requirements of the College for their degrees.

### **ARTICLE V** **Faculty Meetings**

- A. Normally, the president of the faculty presides over meetings of the faculty. If the president is absent, the chair of the Faculty Affairs Committee presides. If that chair is also absent, the president's designee presides.
- B. Administrative officers may attend any faculty meeting with the privilege of the floor but with the privilege of voting only as stated in Article II.A.1. above. Student members of the Education and Curriculum Committee (ECC) may attend that part of a faculty meeting during which pending ECC business is discussed and voted upon, with the privileges of the floor but without vote. Other students may petition the ECC co-chairs for permission to attend that part of faculty meetings during which pending ECC business is discussed and voted upon, with privileges of the floor but without vote. Other persons may attend faculty meetings as guests at the discretion of the presiding officer.
- C. The faculty ordinarily meets at 4:30 p.m. on the first Monday of each month during the academic year, unless the first Monday falls within a recognized vacation period. The president of the faculty may change the day and time of a faculty meeting, may call special faculty meetings, or may cancel any regularly scheduled faculty meeting, upon 24 hours prior notice. If one-tenth of the voting faculty requests by written petition that a special faculty meeting be held, or that a canceled meeting be reinstated, the president of the faculty shall call the meeting.
- D. The president of the faculty may call special meetings of the faculty with as much advance notice as possible, but in no case in less than twenty-four hours. The call for a special meeting may be electronic (e.g. email) or both electronic and by campus mail and shall include a statement of the purpose of the meeting.
- E. The president of the faculty shall give notice of a regular faculty meeting at least 24 hours in advance of the meeting. This notice shall include an agenda as prepared by the president of the faculty. It shall also include the minutes of the previous faculty meeting and supporting documents for items on the meeting agenda.
- F. Any member of the faculty may request permission for any item to be placed on the agenda for a future meeting by making a written (including email) request to the president of the faculty.
- G. The Faculty Affairs Committee may act for the faculty when immediate action is necessary and a meeting of the faculty inexpedient. Any such action is to be reported to the faculty promptly, and is to be considered the decision of the faculty unless the faculty acts by a simple majority to reverse it within ten days after such action.
- H. No unannounced proposal may be voted on at a faculty meeting unless it is (1) of an emergency nature and put on the agenda by a unanimous vote; or (2) clearly germane or indispensable to a measure or matter already contained in the agenda for the meeting.
- I. Faculty members of a College committee, task force, or working group may offer a motion to the faculty to ascertain the sense of the faculty on a matter under their group's consideration; but, the

decision of the faculty on the motion is not binding upon the faculty members of that constituency.

J. Proposals for action at a regular faculty meeting shall ordinarily be circulated to members of the faculty and others who will attend the meeting at least 48 hours before the meeting at which they will be presented. In situations where such circulation would be undesirable (such as a proposed slate for recipients of honorary degrees), the president of the faculty is empowered to make an exception to this rule.

K. Ordinarily, proposals presented are passed by a simple majority vote. However, any faculty member may move for a 2/3 approval of any proposal. In order to be in force, this motion must be seconded and passed by a simple majority.

L. Resolutions to the faculty from the Education and Curriculum Committee (ECC) shall be presented at two faculty meetings (they need not be successive meetings) and not voted upon at the first of these faculty meetings. Any ECC resolution amended on the floor of the faculty meeting must be returned to ECC for deliberation before it can be submitted to the faculty meeting for a vote; but, this requirement does not apply to minor changes in wording accepted by ECC members present at the faculty meeting.

M. During its meeting, the faculty may, by normal parliamentary procedure, postpone or table proposals.

N. Any faculty member wishing to make an announcement at a faculty meeting should contact the president of the faculty at least twenty-four hours before the meeting is to be held with a request and description of the proposed announcement. The faculty president retains discretion to permit or deny the proposed announcement.

O. Regular attendance at faculty meetings is important and encouraged. While such attendance is optional, participation in the academic governance of the College is a responsibility of each faculty member.

P. A presiding officer and one-fourth of the voting faculty shall constitute a quorum for a faculty meeting. In the absence of a quorum, the faculty at its meeting may hold discussions and hear reports and announcements, but the only business that may be conducted at the meeting is to take measures to obtain a quorum, to fix the time at which to adjourn, and to adjourn.

Q. Ordinarily, voting in faculty meetings shall be by voice vote. Upon request of any member of the faculty, a secret ballot shall be taken. Members of the Faculty Affairs Committee who are present at the meeting shall conduct this ballot.

R. When not inconsistent with these Bylaws, the latest edition of *Robert's Rules of Order* shall dictate the parliamentary procedures at faculty meetings.

S. It is the responsibility of individual members of the faculty to abide by the proposals adopted at a faculty meeting.

## **ARTICLE VI**

### **Elections and Appointments to Committees**

The Faculty Affairs Committee conducts all faculty elections and makes and monitors faculty appointments to all permanent and temporary College committees. The Faculty Affairs Committee (FAC) shall resolve all situations concerning elections and appointments that are not covered in this Article of the Bylaws.

#### **A. General Principles**

1. Faculty members elected or appointed to a committee, except those serving in an *ex officio*

capacity on that committee, shall be tenured, tenure-track or PEAR members of the faculty whose primary responsibility is not administrative. If a faculty member on continuing appointment wishes to serve on appointive committees in a faculty capacity, that person should make this known to the Chair of the Faculty Affairs Committee and will then be eligible for appointment.

2. Terms of service on a committee expire at the conclusion of an academic year, at which time newly elected or appointed members take office.
3. Ordinarily, faculty members are not expected to serve on more than one elected or appointed committee.
4. Normally, a faculty member on leave shall not serve on a College committee.
5. A faculty member elected or appointed to a committee will be expected to serve during the term of membership except for absences of at most one term per academic year. The FAC will make appointments, if the FAC decides it is necessary, to fill one-term faculty vacancies on committees.
6. A faculty member elected or appointed to a committee who takes a two-term or longer leave of absence from the committee in one academic year shall resign from the committee or (with approval of the FAC) take a leave from the committee.
7. The FAC shall conduct elections or make appointments, as it deems necessary, to fill unexpired terms and leaves of absence it approves in the midst of terms of service.
8. Faculty members in their first year of employment at the College shall not serve on any elected or appointed committee.
9. No faculty member may serve simultaneously on two elected standing committees, which are defined below in Article VI.B.1.
10. Generally speaking (with two exceptions to (b) below, in Articles VI.B.5. and VI.B.6. below), faculty members eligible for election or appointment to a standing committee for a given year are those tenured, tenure-track or PEAR faculty members who (a) will be on campus for at least two terms in that year and (b) are not currently serving on an elected standing committee other than the Faculty Judiciary Committee.
11. *Ex officio* members of a committee shall be full voting members of the committee.
12. A quorum for a committee meeting consists of a presiding officer plus one-half of the regular members of the committee.

## B. Elected Committees

1. The elected standing committees are the President of the Faculty, the Faculty Personnel Committee (FPC), the Education and Curriculum Committee (ECC), the Faculty Affairs Committee (FAC), the Faculty Grants Committee, the College Council, the Budget Committee, and the Faculty Judiciary Committee (FJC).
2. The Faculty Curriculum and Planning Committee (FCPC) is defined as the dean of the college, an associate dean of the College, and the elected faculty members of the ECC.
3. As in Section IV.D.3, The faculty may create *ad hoc* elected committees for limited and clearly specified purposes not falling under the jurisdiction of standing committees.
4. In any year, the election of faculty members to standing committees will be held in the order the committees are listed in Section B.1. of this Article.

5. No term of service of at least one year on the ECC, FAC, Faculty Grants Committee, College Council, or Budget Committee may be succeeded by another term of service on any of these committees without an interval of at least one year, with one exception: such a term of service may be succeeded immediately by a term of service as President of the Faculty.
6. FPC members may serve two or more consecutive terms on the FPC, but may not be elected to another committee after completing service on the FPC without an interval of at least one year.
7. No faculty member shall stand for election to the FPC who plans to interrupt the first two years of service on the committee with a leave or off-campus program.

#### C. Appointed Committees

The Faculty Affairs Committee (FAC) appoints faculty members to the College committees made up of students, faculty, and staff members. The FAC shall maintain a list of these committees and update the list each year. The list shall be made available to the faculty through print or electronic means.

### **ARTICLE VII**

#### **Faculty Membership on Elected Committees**

##### A. President of the Faculty

For a description of duties, qualifications, method of election, and term of office, see Article III.A. above.

##### B. Faculty Personnel Committee (FPC)

1. General purpose: To oversee the professional growth of the faculty from the time of hiring throughout their professional careers. Especially important, the committee is charged with monitoring third-year reviews and participating in tenure reviews.
2. Membership: The president and dean of the College and five tenured faculty members, one from the social sciences, one from natural sciences/mathematics, two from combined humanities and arts and literature, and one tenured five years or fewer at the time of election. No two members are from the same department.
3. There shall be no alternate members of the FPC. If a tenure candidate is from the same department as an elected FPC member, that member shall remove him- or herself during the deliberation about the candidate and shall not participate in the voting concerning the candidate. In such a case, if no other elected member of the committee is from the same division as the tenure candidate, the most recently retired FPC member from a different department in the candidate's division shall serve as a non-voting consultant to the FPC to provide discipline-specific advice.
4. Term of membership: Three years.

##### C. Education and Curriculum Committee (ECC)

1. General purpose: to function as a hearing and policy formulation committee reporting to the faculty. ECC is responsible for the articulation of educational policy and will receive occasional reports from those College committees (e.g., the Academic Standing Committee) that are primarily concerned with educational or curricular matters.
2. Membership: The dean and an associate dean of the College, five tenured, tenure-track or PEAR faculty members (including the Co-chair and the Co-chair-elect), five students. The dean

of the College is Co-chair of the ECC. One faculty member is from the social sciences, one is from natural sciences/mathematics, two are from combined humanities and arts and literature, and one is elected at-large, i.e., without specific divisional representation. One of the previous five members is elected by the faculty to serve as Co-chair-elect for one year and then Co-chair for two years.

3. Term of membership: Two years, except for the co-chair-elect/co-chair, who has a three-year term.

#### D. Faculty Affairs Committee (FAC)

1. General purpose: To oversee the general welfare of faculty members at the College. The FAC also conducts all faculty elections and makes and monitors faculty appointments to all College committees.
2. Membership: The president of the faculty and five other faculty members, three tenured when elected and two tenure-track when elected. One of the members tenured when elected is elected to serve as chair-elect for one year and then chair for two years.
3. Term of membership: Three years.

#### E. Faculty Grants Committee

1. General purpose: to advise the dean of the College on the awarding of College grants for faculty development.
2. Membership: The dean of the College and four tenured faculty members. The dean of the College is the chair of the committee. One member is from the social sciences, one member is from natural sciences/mathematics, two members are from combined humanities and arts and literature.
3. Term of membership: Two years.

#### F. College Council

1. General purpose: to function as a hearing and policy formulation committee for non-curricular policies concerning the life of the College at large. The Council functions through subcommittees called into being to deal with particular policy issues.
2. Membership: Four senior administrative officers, two staff members, five faculty members, five students, one alumni observer and one trustee observer. The president of the College is the chair of the Council. The president of the faculty and the chair of the Faculty Affairs Committee are *ex officio* members of the Council. The faculty elects the other three faculty members, one tenure-track when elected and two tenured when elected. One of the three elected faculty members on the Council also serves as a faculty member of the Budget Committee, which is a permanent subcommittee of the Council.
3. Elected faculty term of membership: Two years.

#### G. Budget Committee

1. General purpose: To formulate recommendations regarding annual budgets and longer-term financial plans. The Budget Committee is a standing subcommittee of the College Council.
2. Membership: The dean of the College, the vice president and treasurer, one faculty member and one student member of the College Council, one other faculty member and one other

student, and such other members of the community as will be determined by the presidents of the College, the faculty, and the Carleton Student Association. The dean of the College is the chair of the committee. One faculty member is tenure-track and one is tenured when elected.

3. Faculty term of membership: Two years.

#### H. Faculty Judiciary Committee

1. General Purpose: to conduct hearings on faculty disciplinary matters in which the president of the College or his or her designee has proposed a sanction of suspension or dismissal.
2. Membership: Ten tenured, tenure-track or PEAR faculty members, five members and five alternates. Each group of five is to include at least two women, at least two men, at least one person non-tenured when elected, at least one person who is a person of color.
3. Term of membership: Three years.

### **Article VIII**

#### **Interpretation and Amendment of these Bylaws**

##### A. Interpretation

The Faculty Affairs Committee (FAC) shall rule on any question of interpretation of these Bylaws, though such rulings may be reversed by a two-thirds vote of the faculty. Any FAC ruling regarding interpretation of these Bylaws is to be reported to the faculty at its immediately subsequent meeting.

##### B. Amendment

1. A proposed amendment to these Bylaws may be initiated by the Faculty Affairs Committee or by ten percent of the voting faculty.
2. Any amendment shall be circulated to members of the faculty at least two weeks before it is to be brought before the faculty for vote.
3. A proposed amendment shall be placed on the agenda of a meeting of the faculty, discussed, and voted upon. If it passes this reading by majority vote (with provision for amendment, by majority vote, of the proposal), it shall be read a second time at a subsequent faculty meeting. At this second reading, no amendment of the proposal held by the president of the faculty to be a substantial alteration of the proposal shall be entertained. This second and final reading shall require for passage a vote in favor by a two-thirds majority. Any amendment of these Bylaws shall take effect upon final passage or at a date set by the faculty.
4. Any amendment of these Bylaws is subject to veto by the Board of Trustees.

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*Approved by the Carleton faculty on October 8, 2007.*

*Approved by the Board of Trustees on May 17, 2008.*

*Revised and approved by the Carleton faculty on February 2, 2015.*

*Revised and approved by the Carleton faculty on November 2, 2020. Approved by the Board of Trustees on February 6, 2021.*

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Last revised February 6, 2021

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For [Faculty](#)

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**Last Reviewed: Feb 6th, 2021**

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Maintained by Dean of the College Office

## **Campus Governance Model for Carleton College**

Responsibility for the operation of the College is imposed by law upon the Board of Trustees. The Board must assign the functions to a range of administrative officers, faculty, and other individuals or groups. At Carleton, much of the policy regarding the life of the College falls naturally into two categories: educational policy, which is established by the FACULTY, and a number of other matters of campus governance, on which policy is formulated by the COLLEGE COUNCIL. Certain aspects of College life may require the creation of COLLEGE COMMITTEES. In particular, there is a BUDGET COMMITTEE, which formulates recommendations regarding annual budgets and longer-term financial plans. While the Board of Trustees cannot lawfully abrogate the duty to review, ratify, or reject decisions made in the performance of those functions which are delegated to campus committees, administrative officers, faculty, or the College Council, it recognizes that the orderly running of the College depends on a high degree of decentralization of responsibility for formulation and administration of policy.

### **EDUCATIONAL POLICY**

#### **Faculty Meeting**

By long-standing tradition, at Carleton and in higher education in the United States generally, trustees have delegated formulation of educational policy to the faculty. The Carleton faculty will exercise that responsibility in their monthly meeting, under the direction of their elected President, with the assistance of a standing committee, to be known as the EDUCATION AND CURRICULUM COMMITTEE (ECC).

**Function of ECC:** The ECC will function as a hearing and policy formulation committee reporting to the faculty. They are responsible for the articulation of educational policy and will receive occasional reports from those College committees (e.g., Academic Standing Committee) that are primarily concerned with educational or curricular matters. The faculty meeting will be the final voting authority on all matters of educational policy.

**Membership of ECC:** The dean and an associate dean of the College, five regular faculty members (including the Co-chair and the Co-chair-elect), five students. The dean of the College is Co-chair of the ECC. One faculty member is from the social sciences, one is from natural sciences/mathematics, two are from combined humanities and arts and literature, and one is elected at-large, i.e., without specific divisional representation. One of the previous five members is elected by the faculty to serve as Co-chair-elect for one year and then Co-chair for two years.

**Procedure of ECC:** The ECC will normally meet weekly during the term. Their meetings will be public and minutes will be kept and circulated among the campus community. The dean and faculty co-



chair will be responsible for the agenda of the committee, and will normally include matters on the agenda at the suggestion of any member of the committee.

Members of the ECC, including student members, will be invited to attend and participate in those faculty meetings where formal resolutions from ECC are on the agenda. In addition to those five students, other students who have demonstrated ongoing and substantial interest in a resolution to be debated by the faculty may petition the chairs of ECC to be allowed to attend the faculty meeting. Students may participate in discussion during the meeting and remain present for the voting upon ECC resolutions. A majority of faculty present at a meeting may approve ECC resolutions. ECC resolutions will be circulated in writing in advance of the faculty meeting, and the faculty will not approve an ECC resolution at the meeting where it appears on the agenda for the first time. ECC resolutions must, in other words, appear on the agenda of two faculty meetings (they need not be successive meetings) before they may be approved; students may be present and participate in debate at all such meetings. Any ECC resolution amended on the floor of the faculty meeting must be returned to ECC for deliberation before it can be submitted to the faculty meeting for a vote; this procedure need not apply to minor changes in wording accepted by ECC members present at the meeting.

## GENERAL POLICY

### College Council

**Function:** The mission of the Council will be the development of policies in areas having to do with matters other than educational policy or curriculum. Where appropriate, the Council will make recommendations to the Board of Trustees for action. As the need arises for policy formulation (e.g., a new policy on sexual harassment in the workplace), the Council will establish subcommittees, to consist of members of the Council and appropriate other members of the community, to meet, consult, and produce policy recommendations. The membership of these subcommittees will be determined by consultation among the president of the College, the president of the Faculty, and the president of CSA. Chairs of these subcommittees, normally members of the Council, will also be named by the three Presidents. Subcommittee membership may be reviewed by the Council.

The Budget Committee will be a standing subcommittee of Council. Its membership will consist of the dean of the college as chair, the vice president and treasurer, one faculty member and one student member of the Council, one faculty member elected by the faculty for a three-year term of service, one student nominated by CSA Senate, and such other members of the community as will be determined by the three presidents. The Budget Committee will advise the vice president and treasurer in the construction of the annual budget and in the development of a longer-term financial plan. To that end it will conduct hearings and make recommendations to Council throughout the process of construction of the budget. The Council will make the final budgetary recommendations to the Board of Trustees.

**Membership:** The president of the college will serve as chair. In addition, the membership will include:

- 3 Senior Administrative Officers
- 2 Staff
- 5 Faculty
- 5 Students
- 1 Alumnus or Alumna (Observer)
- 1 Trustee (Observer)

Senior Administrative Officers will be selected by the president, and their terms of service will be

determined by the president. One staff representative will be elected by and from the salaried staff (monthly payroll) and one by and from the hourly staff (bi-weekly payroll); terms for each will be two years, elections for each to be held in alternating years. The president of the faculty and the chair of the Faculty Affairs Committee will serve on the Council ex officio during their entire terms of office. Three other members of the faculty, one of them to be without tenure, will be elected at large by vote of the faculty meeting for two-year terms. The President of the CSA will serve on the Council ex officio. The other four student members will be elected by the student body for one-year terms, to run concurrent with the academic year. The Board of Trustees and the Alumni Board will each designate a representative to attend Council meetings as a non-voting observer.

**Procedure:** The Council will meet regularly during the term. Council meetings will be open to all members of the College community unless the nature of the business justifies a closed executive session. Policy proposals may be approved by a majority vote of Council members attending a meeting; a quorum of 10 will be required to transact business. Proposals for Council consideration may be placed on the agenda by action of the President or by petition of any five members of Council.

Subcommittees will normally meet weekly until their work has been accomplished, when they will disband. The Budget Committee will also meet weekly, but, as a standing subcommittee, will not disband. Subcommittee meetings will be advertised and open to the public, and subcommittees will be expected to publish and circulate minutes to the campus at large as well as to members of the Council.

The campus community, as well as the Alumni Board and the Board of Trustees, will be immediately informed of Council actions. The Board of Trustees need not respond to every action of Council.

### **College Committees**

**Function:** In general, College Committees are created by action of the Council or senior administrative officers to examine special areas or programs or to help administer policy. The committees are responsible for making reports to the appropriate administrative officer. All College Committees serve only for the year in which they are established; although many are routinely re-established each year, this provides an opportunity for Council and senior administrative officers to review the necessity for the existence of any or all of them.

**Membership:** College Committees are made up of students, faculty, and staff primarily selected for their competence, concern and effectiveness in the exercise of each committee's responsibility. The faculty members are ordinarily selected by the Faculty Affairs Committee, the students by the CSA Senate, and the staff by the president of the college.

### **Amendment to the College Governance System**

Changes in the nature or operation of the governance system may be proposed by the Council or by the faculty meeting, the CSA Senate, the president of the college or the Board of Trustees. If not of a fundamental character, they may be adopted by a two-thirds vote of the Council (subject to the ultimate approval of the Trustees). More serious changes, after discussion by the Council, should be referred to the Trustees for final action.

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*Adopted by the Board of Trustees March 18, 1992, upon recommendation of the College Council.*

*Amendment adopted by the Board of Trustees June 15, 1995, upon recommendation of the College Council.*

*Revised and approved by the Carleton faculty May 11, 2020. Approved by the Board of Trustees February 6, 2021.*

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Last revised February 6, 2021

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For [Faculty](#), [Staff](#), [Students](#)

**Last Reviewed: Oct 4th, 2021**

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Maintained by Office of the President

## Code of Conduct

All employees are expected to maintain the highest ethical standards in all associations and activities with others on behalf of the College. It is essential that all staff members conduct themselves in a manner that will withstand the closest scrutiny.

As a College rooted in the liberal arts tradition, Carleton draws its strength and vitality from a free and open exchange of ideas and opinions not only in the classroom, but throughout the campus. Staff members are encouraged to express themselves through internal communication channels and to participate, when appropriate, in the governance of the College. An employee may be asked to serve on one of the representative committees that often determine policy. Staff are also reminded that we are engaged in an enterprise that requires the public confidence. When internal differences are aired publicly and adverse public reaction is the result, the entire community suffers.

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For [Staff](#)

**Last Reviewed: Jan 6th, 2021**

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Maintained by Human Resources

## College Statement of Non-Discrimination

### Guiding Principle

Equal opportunity for all is an essential part of Carleton's recognition that diversity expands the Carleton community's intellectual horizons and enriches the teaching, working, living and learning environment. Carleton College is committed to the principle that its educational facilities, activities and employment opportunities shall be offered without regard to race, color, creed, ethnicity, religion, gender, national origin, marital status, veteran status, actual or perceived sexual orientation, gender identity and expression, status with regard to public assistance, disability or age. Carleton College prohibits discrimination against or harassment of any student, applicant, visitor or employee because of race, color, creed, ethnicity, religion, gender, national origin, marital status, veteran status, actual or perceived sexual orientation, gender identity and expression, status with regard to public assistance, disability or age.

### Examples of Prohibited Behavior

Examples of behavior prohibited by this Statement are: denying an educational opportunity or applying a different standard to a student because of the student's national origin; racial epithets or "jokes;" intimidating an employee because the employee is gay; stalking a student because of student's gender; and actions intended to create a hostile learning or working environment because

a student or employee is disabled.

## **Application**

This Statement applies to all Carleton faculty, students, employees and visitors in connection with any College program, whether on or off campus, including academic, educational, extra-curricular, athletic, residential, employment (including work-study), and other College activities and programs.

## **Reporting Violations**

Any student, employee or visitor to the College campus who is subject to, witnesses, or otherwise becomes aware of discrimination or harassment in violation of this Statement is strongly encouraged to immediately report the incident by filing a [Community Concern Form](#) or by making a report to the appropriate Designated Person identified below.

### **Designated Person for Reports by Student**

Carolyn H. Livingston  
Vice President for Student Life and Dean of Students  
Severance Hall 110  
One North College Street  
Northfield, MN 55057  
(507) 222-4248  
[clivingston@carleton.edu](mailto:clivingston@carleton.edu)

### **Designated Person for Reports by Faculty**

Beverly Nagel  
Dean of the College  
141 Laird Hall  
One North College Street  
Northfield, MN 55057  
(507) 222-4303  
[bnagel@carleton.edu](mailto:bnagel@carleton.edu)

### **Designated Person for Reports by Employees (other than faculty) and Visitors**

Kerstin M. Cárdenas  
Director of Human Resources  
Strong House 101  
One North College Street  
Northfield, MN 55057  
(507) 222-4068  
[kcardenas@carleton.edu](mailto:kcardenas@carleton.edu)

Students, employees and visitors may also make a report to the Title IX Coordinator, Laura Riehle-Merrill, Henry House, One North College Street, Northfield, MN 55057, 507-222-4028, [lrhlem@carleton.edu](mailto:lrhlem@carleton.edu).

A community concern reporting a violation of this Statement will be directed to the appropriate Designated Person.

## Procedures

The College maintains [Procedures for Investigating Reports of Discrimination or Harassment which can be found here.](#)

**Please note** that reports of violations of the College's [Policy Against Sexual Misconduct](#) should be reported as provided in that policy.

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For [Faculty](#), [Staff](#), [Students](#)

**Last Reviewed: Mar 23rd, 2021**

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Maintained by Human Resources

## CSA - Carleton Student Association

The [Carleton Student Association \(CSA\)](#) Senate is the student governing body. As a student who pays the CSA Activity Fee, you are automatically a member of CSA, giving you certain rights and responsibilities. Please visit the CSA website for more information on how to get involved!

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For [Students](#)

**Last Reviewed: Mar 4th, 2021**

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Maintained by Dean of Students

## Our Mission

**The mission of Carleton College is to provide an exceptional undergraduate liberal arts education.** In pursuit of this mission, the College is devoted to academic excellence, distinguished by the creative interplay of teaching, learning, and scholarship, and dedicated to our diverse residential community and extensive international engagements.

**The College's aspiration is to prepare students to lead lives of learning** that are broadly rewarding, professionally satisfying, and of service to humanity. By discovering and sharing exemplary models of undergraduate education, the College seeks to be a leader among those colleges, universities, and professional organizations that share our dedication to this vision.

**Carleton strives to be a collaborative community that encourages curiosity and intellectual adventure of the highest quality.** Faculty, staff, and students respect one another for the serious work and the playful humor we share, and we support each other in pursuing a healthy balance of mind, body, and spirit. Quiet reflection and lively engagement are valued as sources of self-understanding and renewal. Carleton honors thoughtful conversations about difficult questions as necessary for individual growth and community strength. The College works to embody the values of freedom of inquiry and expression and is vigilant in protecting these values within a culture of academic integrity, civil deliberation, and ethical action. Carleton aims to be welcoming and hospitable to its neighbors, guests, and the public, and a responsible steward of its resources.

**Carleton's academic goals focus on developing the critical and creative talents of our students through broad and rigorous studies in the liberal arts disciplines.** Mentored by dedicated faculty and staff, students become active members of a learning and living community that promotes the exploration of passionate interests and emerging avocations. Students learn higher order thinking

skills: disciplinary inquiry, analysis of evidence, arts of communication and argumentation, and problem-solving strategies. In their chosen fields of study, students strengthen their capabilities for disciplinary and interdisciplinary research and artistic production. Students acquire the knowledge necessary for the continuing study of the world's peoples, arts, environments, literatures, sciences, and institutions.

**Carleton develops qualities of mind and character** that prepare its graduates to become citizens and leaders, capable of finding inventive solutions to local, national, and global challenges.

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*Approved by the faculty, April 9, 2007*

*Approved by College Council, May 14, 2007*

*Approved by the Board of Trustees, May 19, 2007*

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Last revised May 29, 2007

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For [Alumni](#), [Faculty](#), [Families](#), [General Public](#), [New Students](#), [Prospective Students](#), [Staff](#), [Students](#)

**Last Reviewed: Oct 4th, 2021**

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Maintained by Office of the President

## **Procedures for Investigating Reports of Discrimination or Harassment**

Below are the Procedures for Investigating Reports of Discrimination or Harassment. These procedures do not apply to allegations of sexual misconduct; those allegations are addressed by the separate [Sexual Misconduct Procedures](#).

### **Procedures**

The College will investigate all reports of a violation of the [College's Statement of Non-Discrimination](#). Reports to the Designated Person or [Title IX Coordinator](#) initially may be made orally or in writing, though all reporters will be required to describe the bases for the report in writing or to confirm the accuracy of a written statement of the report to be investigated. The appropriate Designated Person (depending on whether the report was made by a student, faculty member or other employee or visitor) will be responsible for coordinating the investigation.

Both parties will be given the opportunity to present evidence and to discuss their perspectives regarding the reported incident(s). To the extent possible consistent with College's commitment to perform a full and fair investigation and to take appropriate remedial action, if needed, the College will keep the complaint and investigation confidential. In evaluating whether the investigation establishes a violation, the College will apply the preponderance of evidence standard (i.e. whether the investigation indicates that it is more likely than not that the College's Statement of Non-Discrimination was violated).

The Designated Person or a designee will provide both parties with periodic updates regarding the progress of the investigation and written notice of the outcome. The College will typically complete its investigation within 45 days of receiving the report. If the College's Statement of Nondiscrimination was violated, the College will take action to stop the harassment, prevent its

recurrence and assist persons affected by the violation. The College will take prompt disciplinary action against any employee or student found to have violated the College's Statement of Non-Discrimination. Examples of possible discipline include written warning, suspension, probation, expulsion and termination of employment.

## **Appeal**

Both the reporting party and the person alleged to have committed the violation may appeal the outcome of the investigation on either or both of the following bases: 1) relevant new information not available during the investigation, that would have substantially impacted the final decision; or 2) sanctions that are substantially inconsistent with past institutional responses and College policy.

Appeals will be decided by a Designated Person not involved in the investigation that is the subject of the appeal, selected by the College. For example, appeal of a decision regarding a student report will be decided by the Designated Person for faculty reports or the Designated Person for reports by other employees or visitors.

Appeals must be made in writing to the appropriate Designated Person responsible for coordinating the investigation within 14 calendar days of receipt of the outcome of the investigation. A Party's right to appeal is contingent upon that Party's good faith cooperation with the investigation. Appeals generally will be decided within 21 calendar days.

## **Retaliation Prohibited**

The College prohibits retaliation against any person who reports in good faith a violation of this Statement or who participates in good faith in the investigation of a report. Any person who retaliates against an individual in violation of the policy will be disciplined, including possible expulsion or termination of employment.

## **Assistance From the Office of Disability Services**

A student or employee may request assistance during the investigation and/or resolution process from the Office of Disability Services if needed.

## **Responsible Persons**

All Deans, Associate Deans, Department Chairs, Directors, Associate Directors, House Managers, and the Director of Disability Services are required to report promptly incidents of discrimination and harassment to the appropriate Designated Persons.

Please note that incidents involving violations of the College's Policy Against Sexual Misconduct should be reported as provided in that policy.

## **Record Retention**

Records regarding reports and investigations of alleged violations of this Statement will be retained by the College for seven years. The Title IX Coordinator will be advised of all reports of violations of the College's Statement of Non-Discrimination and of the outcomes of the investigations.

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Last revised May 20, 2016

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For [Faculty](#), [Staff](#), [Students](#)

## **Related Party Disclosure Statement (Conflict of Interest Policy)**

### **Purpose**

The Board of Trustees, officers, and management employees of Carleton College have responsibility for administering the affairs of the College honestly and prudently, and for exercising their best care, skill and judgment for the sole benefit of Carleton College. This policy is intended to ensure the transparency of related party relationships and affirm that the interest of Carleton College has first priority in all decisions and actions. Persons acting on behalf of the College shall exercise good faith in all transactions involved in their duties, and they shall not use their positions with Carleton College or knowledge gained from their work with Carleton College for their personal benefit.

This policy serves to protect Carleton College's tax-exempt organization status. The IRS as well as state regulatory and tax officials view the operations of Carleton College as a public trust, which is subject to scrutiny by and accountable to governmental authorities as well as to members of the public. Maintenance of its tax-exempt status is important for both its continued financial stability and public support.

### **Interested Person**

This statement is directed at the Board of Trustees, officers, management employees and other employees who can influence the actions of Carleton College. This includes all employees who make purchasing decisions, all persons who might be described as "management personnel," and anyone who has proprietary information concerning Carleton College.

### **Areas Where a Conflict May Exist**

Conflicts of interest may arise in the relations of Board of Trustee, officers and management employees with any of the following third parties:

1. Persons and firms supplying goods and services to the College.
2. Persons and firms from whom the College leases property and equipment.
3. Persons and firms with whom the College is dealing or planning to deal in connection with the gift, purchase or sale of real estate, securities, or other property.
4. Competing or affinity organizations.
5. Donors and others supporting the College.
6. Agencies, organizations and associations which affect the operations of the College.
7. Family members, friends, and other employees.

### **Nature of Conflicting Interest**

A conflicting interest may be defined as an interest, direct or indirect, with any persons or firms mentioned in Section 3 above. Such an interest might arise through:

1. Owning stock or holding debt or other proprietary interest in any third-party dealing with the College.
2. Holding office, serving on the board, participating in management, or being otherwise



employed (or formerly employed) with any third party dealing with the College.

3. Receiving remuneration for services with respect to individual transactions involving the College.
4. Using the College's time, personnel, equipment, supplies, or goodwill for other than College approved activities, programs, and purposes.
5. Receiving personal gifts or loans from third parties dealing or competing with the College. Receipt of any gift is disapproved except gifts of a value less than \$50, which could not be refused without discourtesy. No personal gift of money should ever be accepted.

### **Interpretation of this Statement of Policy**

The areas of conflicting interest listed in Section 3, and the relations in those areas which may give rise to a conflict, as listed in Section 4, are not exhaustive. Conflicts might arise in other areas or through other relations. It is assumed that the Board of Trustees, officers, and management employees will recognize such areas and relation by analogy.

The fact that one of the interests described in Section 3 exists does not necessarily mean that a conflict exists; or that the conflict, if it exists, is material enough to be of practical importance; or if material, that upon full disclosure of all relevant facts and circumstances it is necessarily adverse to the interests of the College.

An interested person has a duty to disclose the existence of a conflict of interest described in Section 4 or other potential conflict of interest along with all material facts to the Audit Committee of the Board of Trustees at least annually and before any transaction is consummated. It shall be the continuing responsibility of the Board of Trustees, officers, and management employees to scrutinize their transactions and outside business interests and relationships for potential conflicts and to immediately make such disclosures.

### **Disclosure Policy and Procedure**

Transactions with parties with whom a conflicting interest exists may be undertaken only if all of the following are observed:

1. The conflicting interest is fully disclosed.
2. The person with the conflict of interest is excluded from the discussion and approval of such transactions;
3. A competitive bid for comparable valuation exists; and
4. The Audit Committee of the Board of Trustees has determined that the transaction is in the best interest of the organization.

Disclosure in the organization should be made to the chief executive officer (or if she or he is the one with the conflict, then to the Chair of the Audit Committee), who shall bring the matter to the attention of the Board of Trustees. Disclosure involving directors should be made to the Chair of the Audit Committee (or if she or he is the one with the conflict, then to the Chair of the Board of Trustees) who shall bring these matters to the Board of Trustees.

The Audit Committee shall determine whether a conflict exists and in the case of an existing conflict, whether the contemplated transaction may be authorized as just, fair, and reasonable to the College. The decision of the Audit Committee on these matters will rest in their sole discretion, and their concern must be the welfare of the College and the advancement of its purpose.

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The Vice President and Treasurer's office offers a Related party disclosure form for the purpose of providing disclosure statements. This form can be found on the Treasurer's website under forms on the navigation bar.

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*Adopted by the Audit Committee: May 16, 2007*

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For [Faculty](#), [Staff](#), [Students](#)

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**Last Reviewed: Oct 1st, 2021**

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Maintained by Vice President and Treasurer

## **Staff at Carleton (SAC)**

The Staff at Carleton (SAC) committee is made up of non-exempt, non-union employees and seeks input on College policy matters to generate response to questions, concerns, and suggestions from staff members. The group has been instrumental in improving benefits and communication among College employees. Its members are elected to represent each geographical area of the College. A copy of the by-laws is available on the [SAC website](#).

SAC luncheons start at 11:30 and end at 1:00 p.m. These are occasions to network and develop professionally and are to be treated that way. Choosing to attend the luncheons will neither lengthen or shorten that day's paid work schedule, cause overtime pay, or result in a change in the individual's FTE appointment. The lunch period normally taken should be recorded on the time sheet.

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For [Staff](#)

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**Last Reviewed: Jan 6th, 2021**

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Maintained by Human Resources

## **Staff Guidelines on Committee Participation**

### **Introduction**

The officers of the College determine the need for committees to explore specific topics or issues and develop the appropriate group structure. By doing so, they specifically and tacitly send the message that committee participation is doing the work of the College.

It is important to emphasize the positive impact of the individual's participation in committee work, both to the individual and the College. The College benefits by having a large number of willing and interested staff from which to choose committee participants and from the knowledge they bring to the group process.

Individual staff participants are able to contribute to the college in a meaningful way, often on matters of interest not directly related to their jobs, and develop a new dimension to their sense of belonging and their ability to make a difference. It is essential that the individual staff participant communicate with one's supervisor and assist in determining work schedules and assignments in conjunction with the participant's work, the work of others, and the effective progress of the

department's work.

Obtaining prior approval from your supervisor is essential for successful committee involvement on the part of the individual staff participant, the College and department operations. Continued communication with one's supervisor and co-workers can help prevent work-stress problems. Communication can also promote equitable committee participation among staff members within a department and consistent work priorities.

### **Balance Work Load and Committee Assignments: Assessment Questions for Staff and Supervisors:**

Staff participation on committees should be evaluated in order to assess the impact participation will have on the participant's workload, the workload of others, and daily operations. The amount of work that may need to be delayed, reassigned, or eliminated needs to be identified and evaluated. Schedule changes may be required for the participant or others. Such changes would need to be reviewed for budget and legal FLSA (Fair Labor Standards Act) impact and compliance.\*

The staff participant and supervisor should discuss these and any other pertinent topics. The following is provided as an aid in evaluating what effects, if any, staff participation on committees will have on the department:

1. In what other committee assignments is this staff member currently active?
2. Will a change in work schedule be likely or necessary, since this is paid work time? If not, is flexible time during the same week available?
3. Will staff coverage for the department be affected? How? What is the solution?
4. What adjustments in work assignments or deadlines may need to be made? Which work deadlines cannot be adjusted?
5. Will committee participation result in reassignment of work to others? What? To whom?
6. What is the expected meeting time commitment?

\*The supervisor needs to view any operational solutions in terms of the impact on the budget and the provisions of the Fair Labor Standards Act (FLSA). The department's budget will be affected if the staff member is subject to the provisions for the FLSA (at Carleton this is defined as employees who are paid on a bi-weekly basis) and a schedule change results in added hours to a part-time work schedule or the added hours result in overtime pay (hours worked in excess of 40 in any one work week). It is important to note that paid time off, in lieu of working more than eight hours per day, must be taken in the same work week in which the additional hours per day are worked. If the staff member works more than 40 hours per week, overtime will be paid for the hours worked over 40. If the staff member is not subject to the FLSA (at Carleton this is defined as employees who are paid on a monthly basis), there will be no budget impact, but workloads and deadlines should still be reviewed as suggested above.

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For [Staff](#)

**Last Reviewed: Jan 6th, 2021**

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Maintained by Human Resources

## Statement on Diversity

Carleton College aspires to provide a liberal arts education that equips students with the skills to lead a fully realized life in a diverse and changing world. A Carleton education recognizes that the world's people differ in their race and ethnicity, culture, political and social worldviews, religious and spiritual understandings, language and geographic characteristics, gender, gender identities and sexual orientations, learning and physical abilities, age, and social and economic classes.

It is essential to our high academic standards that we be committed to creating a diverse campus community because:

- Carleton has a responsibility to educate talented and diverse students, and we have a strong commitment to underrepresented groups.
- Carleton students must meaningfully encounter difference in order to grow personally and live fruitfully in society and contribute to its work.

The core principles of a liberal arts education are based on mutual respect, communication, and engagement, which commits us to create and affirm a culture of respect for people in all aspects of their lives. Carleton seeks to provide a welcoming and safe living and learning space, while we also recognize that the pursuit of a liberal arts education can involve discomfort and disagreement. Carleton affirms that the college and its community grow in understanding when established views are challenged.

A community that fosters diversity of thought and an open exchange of ideas can only emerge from the participation of individuals with different backgrounds and worldviews. Because creative and talented people come from many places and have many backgrounds, Carleton College is dedicated to attracting and retaining a diverse faculty, staff, student body, and Board of Trustees and sees this as among our highest priorities. Carleton's commitment to diversity will sustain and enrich the learning and living environment that defines the institution and its place in the world.

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*Approved by the DIG (unanimously), October 17, 2006.*

*Approved by the Faculty (unanimously), November 6, 2006*

*Approved by the College Council (unanimously) January 15, 2007*

*Approved by the Board of Trustees (unanimously) May 19, 2007*

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Last revised May 19, 2007

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For [Faculty](#), [Students](#)

**Last Reviewed: Oct 4th, 2021**

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Maintained by Office of the President

## Statement on Student Access to The Board of Trustees

The Board of Trustees of the College wishes to emphasize to all members of the Carleton community that its members value and welcome opportunities, formal and informal, to exchange information and viewpoints on subjects which concern the College. To this end, the Board has authorized a statement regarding its responsibilities and publishes this statement annually in the Student Handbook as the first document in the section on the Governance of the College. In this statement the Board emphasizes that its Student Life Committee serves as a point of liaison between the Board and the campus. The Board emphasizes also that its committees meet with their campus government analogues periodically. The Board has consistently arranged for such meetings to occur and, in particular, for meetings of the Student Life Committee to be broadly based.

The Board wishes to reiterate that, as part of the governance structure of the College, matters for formal consideration by the Board come to it through its committee structure. That is, items are placed on the Board's agenda through referral from the appropriate College and Board committees. Therefore, the openness of the on-campus governance structure insures appropriate consideration by the Board of matters of interest to the community.

The Board wishes to state again its desire to promote other opportunities for students to communicate with members of the Board. It will continue to have occasions and meeting opportunities which are open to all. The practice of trustees eating lunches with students will continue. Finally, the Board will continue to schedule student representations at its formal meetings on occasion.

The Board believes that through this structure of committees and informal contacts it remains open to the viewpoints and concerns of students. It looks forward to the continuation of such exchanges. The Board also welcomes suggestions from students or other members of the Carleton community as to other constructive avenues for exchange between students and trustees.

Every effort will be made to schedule Board meetings when the College is in session, that is, not during mid-term break.

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*Approved on February 8, 1987.*

*Updated/Approved by the Executive Committee on September 18, 2014.*

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Last revised September 18, 2014

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For [Students](#)

**Last Reviewed: Oct 4th, 2021**

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Maintained by Office of the President

## The Forum

The Forum gathers several times each term. Members represent exempt employees from numerous offices and divisions on campus. The purpose of the Forum is twofold. First, the Forum allows exempt staff to gather to share ideas, discuss campus issues, build bridges with faculty and the community, and make new connections. Second, the Forum Steering Committee serves as an advocate for exempt staff participation in discussions that affect member's roles in the Carleton community. Topics vary widely.

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Last revised May 2, 2013

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For [Staff](#)

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**Last Reviewed: Jan 6th, 2021**

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Maintained by Human Resources

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Academic Regulations & Procedures

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Buildings & Grounds

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**College Governance**

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Communications

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Community

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Employment & Benefits

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Events

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Faculty Appointments

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Financial

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Health & Safety

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Housing & Residential Living

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Information Technology, Documents, & Records

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Research

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Travel & Transportation

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The [Campus Handbook](#) is the one place to find all official Carleton College policies and guidelines. It contains the [Student](#), [Faculty](#), and [Staff](#) handbooks. These policies and guidelines are subject to change.

If you have questions or corrections, please email [campus-handbook.group@carleton.edu](mailto:campus-handbook.group@carleton.edu).

[Campus Handbook Archive](#) • [Tools for Policy/Guideline Maintainers](#)

This page last updated 1 June 2017.

[Login](#)



# Communications

## College Wordmark and Identity Graphics

Use of the Carleton wordmark and identity graphics must follow the guidelines established by the Office of College Communications. [Read the guidelines and download the marks.](#)

For [Faculty](#), [Staff](#), [Students](#)

**Last Reviewed: Jul 1st, 2019**

Maintained by Creative Services

## Copyright

### I. Overview

It is the goal of Carleton College to “liberate individuals from the constraints imposed by ignorance or complacency and prepare them broadly to lead rewarding, creative, and useful lives.” (Academic Catalog, Purpose of the College). To achieve this goal, the free and open exchange of ideas is vital. In this spirit, the College’s copyright policy is intended to encourage all members of the Carleton community to publish their papers, books, and other works in order to share their knowledge openly with colleagues and the public. The College adheres to the long-standing academic tradition that creators of works own the copyrights in works resulting from their scholarly, pedagogical, and creative activities. This principle is the foundation for the College’s policies on copyright ownership.

This principle also underlies the College’s commitment to fostering an environment of respect for and responsible use of the intellectual property of others. The College is committed to helping members of the Carleton community comply with copyright laws by providing resources to help individuals make informed, careful, and situation-sensitive decisions about the lawful and fair use of work created by others.

### II. Application

This policy applies to all faculty (including those on temporary appointments), staff, and students.

### III. Copyright Ownership

#### A. Creator Owns the Copyright

Individuals engaged in scholarly, pedagogical or creative efforts produce a great variety of copyrightable materials they may want to protect from unauthorized use. These include, for example, books, articles, monographs, bibliographies, lecture notes and



handouts, musical compositions and recordings, artwork, photographs, films, audio visual works, and computer programs.

When a member of the faculty or staff or a student authors a copyrightable work, that individual will own the copyright in the work (and may voluntarily cede it to a publisher or distributor), unless the circumstances of IIIB, IIIC or IIID apply. Even though the College may provide some support in the way of facilities, materials, equipment, or personnel, individual ownership of the copyright in such works is appropriate.

It is understood, however, that the individual will allow the College to use without charge any copyrighted work that originally was designed for the express purpose of making such work available to individuals other than, or in addition to the creator for use in teaching, administration, or other College activities. Examples of such work include a computer program designed to improve an office procedure and developed by a faculty or staff member (not under the circumstances of IIIB, IIIC or IIID), or curricular materials created by a faculty member (not under the circumstances of IIIB, IIIC or IIID) to use in sections of a course that is taught by several department faculty. Such materials will be available to the College free of charge, even if the individual who wrote the program or curricular materials has left the College.

## **B. Rights Are Determined by Contract**

1. Ownership of the copyrights in works created in the course of projects or programs funded by an external agency, for example, under a grant or similar arrangement, will be determined in accordance with the terms of agreement with the external party and applicable law. An agreement regarding copyright ownership must be signed by the College, the external agency, and the appropriate individuals before acceptance of outside funding.

2. Generally, students own the copyright in the works they create, including their contributions to collaborative projects, unless the circumstances of IIIC or IIID apply or the student has signed a written agreement regarding copyright. Accordingly, faculty and staff are strongly encouraged to obtain a written agreement from each student before involving students in scholarly research or other projects that may result in works the faculty or staff would want to use or publish. In addition, if there is any question whether IIIC or IIID will apply to works created by a student, a written agreement should be signed before the student begins work.

3. Faculty, staff and students are encouraged to engage in collaborative research and other collaborative projects. Because of the misunderstandings that may result when different individuals own rights in the results of a collaborative effort, a written agreement regarding copyright should be signed before beginning work.

## **C. College Owns the Copyright in Directed and Commissioned Works .**

The College will retain ownership of the copyright in works that are specifically directed or commissioned by the College or produced by an individual (or group of individuals) as a specific job requirement. Examples of works in this category are articles for the alumni magazine or other College publications written by Publications Office personnel; computer software developed by technical staff; and the output of a faculty member on special assignment to write a history of the College while receiving full salary.

This category does not include materials created by faculty in connection with their teaching, research, or other scholarly activities, even though faculty are expected to teach and engage in scholarly activities as part of their job, unless the works are specifically directed or commissioned by the College, as in the example of a faculty member on special assignment to write a history of the College while receiving a full salary. This category also does not include materials created by the staff outside the scope of their employment.

On occasion, the College may grant its copyright to one or more individuals or may agree to joint ownership of the copyright. If an individual wishes to own the copyright in a work that falls into this category, he or she should raise the issue in writing before undertaking the work. The arrangement on which the individual and the College agree must be documented in writing. If no such writing exists, the general rule of this section III C will be deemed to apply.

#### **D. College Owns Copyright in Administrative Works**

The College will retain ownership of the copyright in works created in the course of an administrative assignment of the College, such as, internal policies and procedures, internal studies and plans, or a report for a university committee.

On occasion, the College may grant its copyright in an administrative work to one or more individuals or may agree to joint ownership of the copyright. If an individual wishes to own the copyright in a work that falls into this category, he or she should raise the issue in writing before undertaking the work. The arrangement on which the individual and the College agree must be documented in writing. If no such writing exists, the general rule of this section III D will be deemed to apply.

## **IV. Distribution of Income from Royalties**

### **A. Copyright Belongs to an Individual or Group of Individuals**

If one or more individuals own the copyright, those individuals are entitled to 100% of the royalties, unless III B, III C or III D applies. If the copyright is owned jointly by one or more individuals, a written agreement on division of royalties should be signed.

### **B. Copyright Belongs to the College or to the College and Others, Jointly**

If the College owns the copyright, all royalties will be paid to the College, unless a special agreement to the contrary has been made in advance. If the copyright is owned jointly by the College and one or more individuals, a written agreement on division of royalties should be signed. If no written agreement is signed, all royalties will be divided equally among the copyright owners.

### **C. Work Resulting From Outside Funding**

If the work will result from a project funded by an outside agency, an agreement on division of royalties must be signed before acceptance of outside funding.

## **V. Further Assurances**

The College, the faculty, the staff, and students will execute such written instruments or agreements as may be required to give effect to this policy.

## **VI. Use and “Fair Use” of Copyrighted Works**

### **A. Compliance with Copyright Laws**

Carleton College expects all faculty, staff and students to make a reasonable effort in good faith to comply with copyright laws in their use of copyrighted materials.

### **B. Fair Use of Copyrighted Works**

The College encourages its faculty, staff and students to take full advantage of the “fair use” exception to the exclusive rights of copyright owners. The College requires, however, that before relying on the fair use exception, faculty, staff, and students will educate themselves regarding the limits of fair use and will, in each instance, perform a careful, good faith fair use analysis based on the four factors identified in Section 107 of the federal Copyright Act. Faculty, staff and students are strongly encouraged to document their fair use analyses as a defense against claims of copyright infringement.

### **C. Assistance with Copyright Compliance**

Because of the complexity of copyright law and, in particular, the fair use exception, the College will provide resources to educate faculty, staff and students and help them make informed, careful and situation-sensitive decisions about the lawful and fair use of works created by others.

### **D. Violation of Copyright Laws**

Upon obtaining knowledge that material residing on College systems or networks is infringing or that College systems or networks are being used for infringing activities (or upon becoming aware of circumstances from which infringing activity is apparent), the College will act expeditiously to remove or disable access to the infringing materials and may deny the individuals responsible further access to College systems or networks. In addition, members of faculty or staff or students or other persons employed by the College who willfully disregard or violate copyright law may be subject to disciplinary action by the College in accordance with applicable disciplinary policies and procedures.

## **VII. Administration of Copyright Policy**

### **A. Copyright Ownership and Distribution of Royalties.**

The Vice President and Treasurer will adopt policies and procedures to implement Sections III, IV, and V of this policy. The Dean of the College will adjudicate in the case of disputes regarding copyright ownership and royalties.

### **B. Use and “Fair Use” of Copyrighted Works**

The Dean of the College will adopt policies and procedures to implement Section VI of this policy.

## **C. Amendment**

The College may amend this policy from time to time as it deems necessary or desirable, subject to applicable statutory and contractual restraints.

For additional information, please see [Copyright at Carleton](#).

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*Adopted by the Board of Trustees on October 21, 2006.*

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Last revised October 21, 2006

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For [Faculty](#), [Staff](#), [Students](#)

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**Last Reviewed: Oct 1st, 2020**

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Maintained by Dean of the College Office

## **E-mail as Official Communication for Students**

Electronic mail (e-mail), like postal mail, is a mechanism for official College communication with students. The College will exercise the right to send e-mail communications to all students, and will expect that students will read them in a timely manner.

### **SCOPE**

This policy applies to all matriculated students of Carleton. Official communications using e-mail can include e-mail to a group, such as all students enrolled in a course, or an e-mail message to only one student.

### **E-MAIL ADDRESSES**

All students are assigned an official Carleton College e-mail address and official College communications will be sent to this e-mail address. The official Carleton e-mail address for each student is listed in the official College directory.

The College provides several mechanisms so that a student may access his/her official Carleton e-mail account on and off campus. A student may also choose to forward his/her e-mail from his or her official Carleton e-mail address to another e-mail address of his/her choice. A student who chooses to forward e-mail to another e-mail address does so at his or her own risk. Carleton is not responsible for e-mail forwarded to any other e-mail address. Official communications demand attention, and often a timely response. For example, communications may refer to matters that are essential for safety or academics. Students are responsible for the failure to receive, or act upon, official communications.

### **EXPECTATIONS REGARDING FREQUENCY OF READING E-MAIL**

Students are expected to check e-mail frequently and regularly in order to stay current with College-related communications, recognizing that certain communications may be time-critical. It is recommended that e-mail be checked daily.

Students on off-campus study programs approved by the College are expected to check their e-mail

as regularly as time and facilities permit. In cases where the student is away from internet access for more than a week at a time, the student should set their "away message" using procedures described on the ITS website. If an urgent situation arises while the student has an away message set, every attempt will be made to contact the student through other means.

## **PRIVACY AND CONFIDENTIALITY**

Official College communications sent by e-mail are subject to the same public information, privacy and records retention requirements and policies as other official College communications.

## **INSTRUCTIONAL USES OF E-MAIL**

Faculty members retain autonomy in determining how e-mail or other forms of electronic communication will be used in their classes. Faculty may expect that students are checking e-mail regularly, and faculty may use e-mail for their courses accordingly. Faculty should inform students in the course syllabus of any special or unusual expectations for electronic communication. Under normal circumstances, students can expect faculty to be reachable through e-mail. If a faculty member prefers not to communicate with students through e-mail, he/she should inform the students of this in the course syllabus and provide information about his/her preferred form of communication.

If students and faculty are using e-mail to communicate with each other, they should use the provided Carleton address. The exchange of personal addresses requires unnecessary maintenance that can be avoided by a one-time set up of e-mail forwarding.

## **IMPLEMENTATION AND ASSISTANCE**

The Chief Technology Officer (CTO) is responsible for the implementation of this policy. For assistance with e-mail, contact the ITS Helpdesk in the first floor lab wing of the CMC (x5999). For questions about faculty use of e-mail, contact the Dean of the College Office. For questions about the policy or issues related to a student's failure to comply with this policy, contact the Dean of Students Office.

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*Adopted 4/07*

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Last revised August 6, 2014

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For [Faculty](#), [Students](#)

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**Last Reviewed: Apr 11th, 2019**

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Maintained by Information Technology Services

## **Freedom of Expression**

Support of any cause by demonstration or other orderly means, including picketing and other forms of peaceful protest, is permitted on College premises so long as it does not disrupt the operation of the College, jeopardize its legal status, interfere with entrances to and exits from College facilities, interrupt classes, interfere with other normal day-to-day activities of the College, or cause damage to property. The College may call upon local law enforcement bodies to remedy violations covered by this paragraph. In addition, the College may choose to impose its own disciplinary sanctions.

Discussion and expression of all views relevant to the subject matter are permitted in the classroom, subject only to the responsibility of the instructor to conduct his or her course. It is expected that he or she will exercise that responsibility with reason and restraint and within the confines of academic freedom for students and faculty alike. See the Statement on Discrimination and Academic Freedom for further discussion of the College's position on these issues.

Students, groups, and campus organizations may invite and hear any person of their own choosing, subject only to the requirements for the use of College facilities.

No individual or group may prevent or attempt to prevent a student from interviewing on campus with any graduate or professional school or other legal employer desiring to recruit at the College.

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*Adopted by the Board of Trustees June 17, 1993, upon recommendation of the College Council.*

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For [Faculty](#), [Staff](#), [Students](#)

**Last Reviewed: Oct 4th, 2021**

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Maintained by Office of the President

## Grievance Procedures for Staff

Carleton College wishes to provide an enjoyable, productive, legal and ethical work environment. The College encourages employees, which includes student employees, to raise concerns regarding their employment/workplace and to bring any grievances on policy violation/inappropriate conduct on the part of the company, management, its employees, vendors, customers, or any other persons related to the college, to your supervisor and, if necessary, to Human Resources or the Vice President/Treasurer. Retaliation as a response to such a report will not be tolerated.

A concern may be brought forward either informally or formally.

**Informally:** Many concerns can be resolved through open discussion between the parties or the employee may initiate the concern to the supervisor, explaining the nature of the concern and the resolution sought. If an employee is reluctant to discuss the matter with the supervisor, he/she may seek the advice of Human Resources. If an oral response is provided to the employee, a written record of the response should be documented. If the informal procedure does not resolve the grievance, and the employee wishes to continue the matter, the employee may proceed with a more formal procedure, preferably within one month of its occurrence and no later than 6 months as a prolonged delay in reporting can further complicate the matter.

**Formally:** A concern or grievance can also be reported in writing (indicate the problem, persons involved, and any suggested solution you may have to the problem) to your supervisor or Human Resources. If need be written grievance may be provided to the VP/Treasurer. Although the College cannot promise that your grievance will result in the action you request or that you will be completely satisfied with the outcome, the College will consider all aspects and act in a fair and appropriate manner. The complaint will be taken into consideration and investigated if deemed necessary. If it is determined that further action is warranted, the College will take appropriate corrective action. Confidentiality will be maintained during the investigation to the fullest extent possible, consistent with the need to conduct a thorough investigation. The employee making the complaint will be advised of the results of the investigation to the extent appropriate under the

circumstances.

**In addition, Grievance procedures for:**

**Faculty - [Faculty Handbook](#)**

**Sexual Misconduct - [Community section of the Staff Handbook](#)**

**Union employees - Union Contract Agreement**

### **Anti-Retaliation Policy**

The College encourages its employees to make grievance reports of College-related misconduct. Retaliation as a response to such a report will not be tolerated. Retaliation, whether actual or threatened, destroys a sense of community and trust that is central to a quality work environment.

No employee will be disciplined or otherwise retaliated against for reporting alleged misconduct.

Any employee who believes he or she may have been subject to retaliation for making a complaint should report the suspected retaliation as outlined in the Grievance Procedure. Employees determined to have engaged in retaliatory behavior will be subject to discipline, up to and including termination.

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Last revised July 1, 2014

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For [Staff](#)

**Last Reviewed: Dec 1st, 2021**

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Maintained by Human Resources

## **Official Closings and Winter Storms**

### **Official Closings**

On rare occasions the College may officially close (although classes may still be in session) as a result of non-weather related issues (i.e. loss of electricity or heat, computer access, tornado, flood, etc.) or due to inclement winter weather. In such events, the process for an official closing will be determined only through select members of the administration; the President, the Vice President and Treasurer, Dean of the College, Director of Human Resources, and the Director of Facilities & Capital Planning. They will take under consideration the level of functionality and operations adversely affected in order to determine the necessity for an official closing.

Staff and faculty could receive notification via the following:

- E-mail (if operational) by one of the determining listed administrators;
- Contact in person. In the event where no readily accessible mode of communication is available (email or voicemail), a designated department contact will report to one of the offices of the determining administrators (i.e. President, Vice President and Treasurer, Dean of the

College, Director of Human Resources, Director of Facilities & Capital Planning) for the official closing status of the College.

All regular employees who would have been working will be paid for their lost time. Those who work will be given compensating time off.

It is recommended that each department record voicemail messages on their telephones providing official closure information. These messages can be recorded even if off campus. For instructions on how to do this, refer to [Telecommunications website](#).

When the College decides to remain open even though there may be some functions inoperable, employees are encouraged to remain productive in altering their work tasks. If there is a question as to optional task completion, please confer with your supervisor for direction.

NOTE: Departments providing essential service – heat, security, food, snow removal, telephone, and emergency maintenance, shall make arrangements to provide adequate coverage at all times and in all circumstances. To facilitate snow removal, employees are urged to park in lots that have already been plowed whenever possible.

### **Winter Storms**

When winter storms create hazardous driving conditions, employees may arrive late or leave early with the permission of their supervisors. Each department shall establish its own procedures for doing so. Floating holiday, vacation, weather day or make-up hours may be arranged by the employee in order to receive pay for lost time. Make up hours must be worked within the same pay week as the lost time. Normally, make-up time resulting in overtime will be limited to the dollar value of the lost time pay.

The decision to close the College in the morning will be announced on KYMN, KDHL, KSTP, KARE 11, and WCCO by 7:30 a.m., if possible. Closings during the day will be announced by campus e-mail.

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Last revised December 7, 2005

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For [Faculty](#), [Staff](#)

**Last Reviewed: Dec 1st, 2021**

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Maintained by Human Resources

## **Political Activity**

College employees are entitled to freely participate, off-hours, in political activity around an election process: However, the College, due to its tax-exempt status, is prohibited from engaging in certain types of political activity. It is particularly important that we are thoughtful about these issues during the election season. The ramifications of engaging in prohibited election activity include the imposition of excise taxes and loss of the College's tax-exempt status. *Please note that this policy does not apply to established student groups, such as the College Democrats and Republicans, who may use institutional facilities for partisan political purposes.*

Whether an educational institution has engaged in prohibited political activity depends on all of the particular facts and circumstances: For example, while it has been considered permissible to sponsor a forum to educate voters, no preference for or against a particular candidate may be



shown. Candidates may speak on campus so long as all legally qualified candidates are provided access on an equal basis. Non-partisan voter registration drives have also been deemed acceptable.

Employees may not use College resources, including e-mail, computers, telephones, fax or photocopying equipment, to work for or endorse a candidate, political party, or political action committee. The College may not “participate” or “intervene” in a campaign of any candidate for public office; endorse, expressly or impliedly, a candidate for public office; sponsor events to advance the candidacy of a particular candidate; invite employees to candidate events; publish ratings of candidates; or comment on actions, statements, or positions taken by candidates.

Again, utilization of Carleton resources is prohibited, as are public statements by officials where there is a risk that the statement could be attributed to the College.

The IRS has released guidance to tax exempt organizations regarding the facts and circumstances it considers when deciding whether a charitable organization has engaged in prohibited political activity in [Revenue Ruling 2007-41](#). The American Council on Education has provided [additional guidance](#).

If you have any questions or concerns about this policy, please contact Eric Runestad in the Treasurer’s Office at [erunestad@carleton.edu](mailto:erunestad@carleton.edu) or extension 5411.

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*September 8, 2008*

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For [Faculty](#), [Staff](#), [Students](#)

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**Last Reviewed: Oct 1st, 2021**

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Maintained by Vice President and Treasurer

## Release of Constituent/Alumni Information

**Contact the Following Offices with Questions:**

<b>Alumni</b>	Alumni Relations x4205
<b>Students</b>	Registrar x4289
<b>International Students</b>	Intercultural & International Life x4013
<b>Parents</b>	Central Records x4195
<b>Staff</b>	Human Resources x4172
<b>Faculty</b>	Dean of the College x4303

**ALUMNI** (Note: refers to both graduates and non-graduates)

Carleton College will release “directory” information (addresses, phones, e-mail, class year) only **to alumni**. Before responding, staff must refer to Advance database to determine if there is an alert on the alum’s record.

Carleton College will respect the wishes of all alumni who request that no directory information be

released about them to anyone. Staff receiving such requests should forward the directive to Central Records staff for appropriate action.

No information regarding alumni will be given **to non-alumni** unless:

1. it is official government business;
2. another educational institution requests such information to locate one of their alumni; or,
3. a non-alum sends to the Alumni Relations or Central Records offices a note, fax or e-mail message that includes the non-alum's name and mailing address. Staff will forward the message to the alum in question. Contact with the non-alum then will be at the initiative of the alum.

Requests by an alum for a large number of addresses should be submitted in writing and will be fulfilled at the discretion of the Director of Alumni Relations.

To protect alumni from unwanted business solicitations or from a large amount of inappropriate contact, no class, geographic, professional or other lists will be distributed unless:

1. the alum is serving the College in an approved volunteer capacity (i.e., as a club chair, class agent, admissions representative, reunion committee volunteer or careers coordinator);
2. as part of alumni career networking under the direction of the Director of the Career Center; or,
3. with the permission of the Director of Alumni Relations.

Information release restrictions determined by an alum for any and all online alumni directories will apply to all print alumni directories.

Constituent information will not be sent to non-staff. All special mailings to alumni must be approved by the Director of Alumni Relations. Upon approval, labels should be requested from Development Information Systems (x4496).

Call reports are for internal use only by members of the division of External Relations and other staff and volunteers as deemed appropriate by External Relations. They may not be shared without prior authorization.

College volunteers should receive only the prospect and donor information they need to perform their College-related duties.

## **STUDENTS**

Carleton College will refrain from disclosing any personally identifiable information contained in a student's education records, except certain information that may be revealed with the consent of the students or as otherwise permitted by law.

Carleton specifically reserves the right to disclose "directory information" to any party without a student's consent. "Directory information" includes information contained in an education record of a student which would not generally be considered harmful or an invasion of privacy if disclosed.

It includes:

- a. a student's name

- b. permanent and local college addresses
- c. all telephone numbers of record
- d. date and place of birth
- e. major or minor field of study or concentration
- f. participation in officially recognized activities and sports
- g. weight and height of members of athletic teams
- h. dates of attendance
- i. degrees and awards received
- j. most recent previous school attended
- k. photograph
- l. class year
- m. e-mail address

Students nonetheless have a right to request that directory information be kept confidential. Such a request should be signed by the student and submitted in writing to the Dean of Students. (Adopted by the board of Trustees, June 17, 1993, upon recommendation of the College Council.) Before responding to requests for student directory information, staff must refer to the Colleague database or the on-line directory (<https://apps.carleton.edu/campus/directory/>) to determine if information can be released.

For detailed information on Carleton policy for the release of education records to third parties see <https://apps.carleton.edu/campus/dos/#disclosure>.

Questions about international students should be directed to the Office of Intercultural & International Life (x4013).

### **CURRENT AND PAST PARENTS**

No information regarding parents of current and former students is to be released. Please contact the Assistant Vice President for Alumni and Parent Relations with questions (x4734).

### **FACULTY/STAFF**

Upon request, you may provide:

- job title
- on-campus telephone number
- Carleton e-mail address

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Last revised July 26, 2012

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For [Alumni](#), [Faculty](#), [Families](#), [General Public](#), [Staff](#), [Students](#)

## **Statement on Academic Freedom**

### **Statement on Academic Freedom**

Shortly after the College's founding in 1866, Carleton took care to assert that the College was "under no ecclesiastical control, nor sectarian in any of its methods or influences." This assertion and others made early and decisively by the Carleton Board of Trustees clearly indicate that among the College's founding principles is that of academic freedom. Carleton, including its President and Board of Trustees, has long affirmed its commitment to academic freedom, as indicated by its staunch defense of members of the faculty being investigated during the McCarthy hearings of the 1950s. This tradition has continued throughout the College's history and remains central to our aims at Carleton.

At Carleton we believe that all of us, students and faculty alike, learn best when freed from constraints upon what we read and say. Thomas Kuhn's *The Structure of Scientific Revolutions* is but one sustained collection of evidence that the initially outlandish can mark and make the progress of knowledge in which all of us are invested. The chemical revolution, evolution, the notion that the earth's continents move about on sliding plates—all these and many other advances were initially greeted with disbelief and derision. Such advances in our knowledge would have been halted swiftly and surely were it not for our conviction that academic freedom means the freedom to entertain and express ideas which others may find absurd or insulting or inappropriate.

It is doubly important today to assert firmly and frequently our adherence to the tradition of academic freedom when so many critics of the academy have claimed that this freedom has fallen victim to ideological disputes and that colleges and universities pay rhetorical tribute to academic freedom but fail to respect it. These critics are largely wrong and are most certainly wrong in the case of Carleton. The seminar and discussion characteristic of so many of our classes is itself lasting testimony to our continued conviction that the free exchange of ideas is how our learning begins and flourishes. Many collegiate traditions merit repeated testing and assessment. For no other tradition is that more true than it is of academic freedom.

Nor is Carleton alone in its vigilance in protecting academic freedom. The position of the American Association of University Professors on academic freedom is contained in its 1940 statement, which states:

Institutions of higher education are conducted for the common good and not to further the interest of either the individual teacher or the institution as a whole. The common good depends upon the free search for truth and its free exposition... Academic freedom in its teaching aspect is fundamental for the protection of the rights of the teacher in teaching and of the student to freedom in learning. It carries with it duties correlative with rights (AAUP, *Policy Documents and Reports*, 9th ed., 2001, 3, footnotes omitted).

Among the rights and correlative duties are the following:

... [T]eachers are entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter which has no relation to their subject... Teachers are citizens, members of a learned

profession, and officers of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As scholars and educational officers, they should remember that the public may judge their profession and their institution by their utterances. Hence they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not speaking for the institution (AAUP, Policy Documents and Reports, 9th ed., 2001, 3-4).

The position of Carleton College regarding academic freedom originates with the Board of Trustees. On campus, the President, who is also a Trustee, has the principal responsibility for ensuring academic freedom and is assisted in this principally by the Dean of the College. The Faculty Personnel Committee (FPC) and the Faculty Affairs Committee (FAC) serve important roles in helping to protect the rights of faculty members who may disagree with their departments, with student opinion, and with the President and Dean.

The President and the Dean consider the protection of the right of individuals to express their views freely and without risk of repercussions to be among our most important responsibilities. But this responsibility also falls on all constituencies of the College: faculty, students, staff, and trustees, and our mutual support of the right of others to speak out on issues, especially when those views may differ from our own, is perhaps the best guarantee that academic freedom will thrive at Carleton.

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Last revised September 1, 2010

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For [Faculty](#), [Staff](#), [Students](#)

**Last Reviewed: Mar 1st, 2022**

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Maintained by Dean of the College Office

## **Statement on Discrimination and Academic Freedom**

The following is a statement of policy as well as a statement of values. It is intended to help sustain a civil atmosphere of unfettered intellectual freedom at the College and to discourage discriminatory speech and actions by its members.

As an institution dedicated to learning and teaching, Carleton College is committed to the principle of free expression and exploration of ideas in an atmosphere of civility and mutual respect. The College therefore also embraces the related principle that all members of its community shall have access to its educational facilities, activities, and employment without regard to race, color, creed, ethnicity, religion, sex, national origin, marital status, veteran status, actual or perceived sexual orientation, gender identity and expression, status with regard to public assistance, disability, or age. These principles guide the College's relationships with individuals and should guide the interactions of all members of the community.

A possible breach of the foregoing principles may be brought to the attention of the appropriate College officer: the Vice President and Treasurer, Dean of the College or Dean of Students, if the party responsible is, respectively, a staff member, faculty member, or student.

While the nature of an academic community is to provide a milieu for the expression, criticism and discussion (and for the tolerance) of the widest range of opinions, it does not provide a license for bigotry in the form of demeaning, discriminatory speech or actions. Thus, the presentation of a reasoned or evidenced claim about a societal group that offends members of that group is to be

distinguished from a gratuitous denigrating claim about, or addressed to, an individual or group such as those enumerated above. The former is bona fide academic behavior while the latter may demean, degrade or victimize in a discriminatory manner and, if so, undermines the above principles.

Discriminatory speech and actions are especially abhorrent when they are made anonymously, for anonymity precludes the possibility of an exchange and exploration of ideas; moreover, such an anonymous message by the very nature of its delivery is a threat to the recipient. Discrimination by one person against another is also particularly abhorrent when the first person is in a position of power with respect to the second, whether in the academic, administrative, political, or social hierarchy on the campus.

Although this policy attempts to eliminate certain behavior and actions on the campus, Carleton cannot guarantee that the environment will always be comfortable for all the members of the community. Often, the educational process is disturbing and unsettling; when one's ideas are under attack and one's values are being challenged, the effect may be simultaneously painful and highly educational. Thus, behavior that is disturbing or unsettling to an individual or group is not necessarily discriminatory. In this regard, it is imperative that faculty and students be able to take controversial positions without fear, in accordance with the principle of academic freedom.

Students, faculty, and staff of Carleton College are asked to support this anti-discrimination policy through participation in discussions about it. The College will facilitate this by providing educational opportunities and forums for such discussions to take place and by making it possible for students, faculty, and staff to attend them. The policy will be distributed to all students, faculty, and staff members each year. The College will actively encourage the discussion of issues raised by the policy in appropriate classes, meetings, symposia, and college publications.

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*Adopted by the Board of Trustees June 21, 1990, upon recommendation of the College Council.*

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Last revised June 21, 1990

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For [Faculty](#), [Staff](#), [Students](#)

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**Last Reviewed: May 28th, 2021**

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Maintained by Human Resources

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## Whistleblower Policy

### Objectives and Purpose

The objectives of this policy are to:

- Formally establish procedures to help provide a workplace conducive to open discussion of the business practices of the College; and
- To positively reinforce and influence compliance with federal and state laws.

Employees and representatives of Carleton College are expected to practice honesty and integrity in fulfilling their responsibilities and comply with all applicable laws and regulations. The purpose of this policy is to comply with all applicable laws that protect employees, which includes student employees, of the College against unlawful discrimination or retaliation by their employer as a result of their lawfully reporting information regarding, or their participating in, investigations involving fraud or other violation by the College or its agents of federal or state law.

## **No Retaliation**

No director, officer or employee who in good faith reports a violation shall suffer harassment, retaliation or adverse employment consequence. An employee who retaliates against someone who has reported a violation in good faith is subject to discipline up to and including termination of employment. This Whistleblower Policy is intended to encourage and enable employees and others to raise serious concerns within the College prior to seeking resolution outside the College.

## **Reporting Violations**

In most cases, an employee's supervisor is in the best position to address an area of concern. However, if you are not comfortable speaking with your supervisor or you are not satisfied with your supervisor's response, you are encouraged to use the whistleblower reporting hotline to report any potential violations. The hotline can be accessed at <https://secure.reportit.net/creator/> (Username: **Carleton** and Password: **Reports**) or by calling 1-877-778-5463. Supervisors and managers are required to report suspected violations to Human Resources.

## **Compliance Officer**

The Compliance Officer is responsible for investigating and resolving all reported complaints and allegations concerning violations and, at their discretion, shall advise the President and/or the Audit Committee of the Board of Trustees. The Compliance Officer has direct access to the Audit Committee and is required to report to the audit committee at least annually on compliance activity. The Compliance Officer is appointed by the Audit Committee.

## **Accounting and Auditing Matters**

The Audit Committee of the Board of Trustees shall address all reported concerns or complaints regarding corporate accounting practices, internal controls or auditing. The Compliance Officer shall immediately notify the Audit Committee of any such complaint and work with the committee until the matter is resolved.

## **Acting in Good Faith**

Anyone filing a complaint concerning a violation or suspected violation must be acting in good faith and have reasonable grounds for believing the information disclosed indicates a violation of federal or state law. Any allegations that prove not to be substantiated and which prove to have been made maliciously or knowingly to be false will be viewed as a serious disciplinary offense.

## **Confidentiality**

Violations or suspected violation may be submitted on a confidential basis by the complainant or may be submitted anonymously to the whistleblower reporting hotline. Reports of violations or suspected violations will be kept confidential to the extent possible, consistent with the need to conduct an adequate investigation.

## **Handling of Reported Violations**

Complaints filed through the whistleblower hotline can be tracked through the reporting system. All reporting will be promptly investigated and appropriate corrective action will be taken if warranted by the investigation.

Approved by the Audit Committee of the Board of Trustees May 16, 2007.

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Last revised May 16, 2007

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For [Faculty](#), [Staff](#), [Students](#)

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**Last Reviewed: Dec 1st, 2021**

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Maintained by Human Resources

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Academic Regulations & Procedures

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Buildings & Grounds

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College Governance

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**Communications**

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Community

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Employment & Benefits

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Events

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Faculty Appointments

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Financial

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Health & Safety

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Housing & Residential Living

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Information Technology, Documents, & Records

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Research

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Travel & Transportation

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The [Campus Handbook](#) is the one place to find all official Carleton College policies and guidelines. It contains the [Student](#), [Faculty](#), and [Staff](#) handbooks. These policies and guidelines are subject to change.

If you have questions or corrections, please email [campus-handbook.group@carleton.edu](mailto:campus-handbook.group@carleton.edu).

[Campus Handbook Archive](#) • [Tools for Policy/Guideline Maintainers](#)

This page last updated 1 July 2014.

[Login](#)





# Community

## Academic Advising

Academic advising is one of the responsibilities of Carleton faculty members. The general goals of advising are:

- to assist students in designing their educational trajectory;
- to help students reflect upon, develop, and implement a strategy for achieving their academic, career, and personal goals;
- to connect students with other resources on campus that can help them to address specific academic, career, and personal concerns;
- to make all reasonable efforts to be able to meet with students when they request an appointment;
- to support and stimulate students' capacity to make informed decisions, to negotiate difficulties, and to take responsibility for and learn from the consequences of their actions and choices.

Advisers of first- and second-year students in particular are encouraged to help their advisees understand the goals of a liberal arts education, especially the values of choosing a wide array of courses as a way to discover their unique talents and intellectual passions. They are also expected to help students navigate the challenges that many students face in adjusting to the demands of college and then to choosing a major.

Advising workshops are offered at the beginning of each academic year to help familiarize faculty with the resources available to students, to share best practices and to learn about changes to College policies and procedures relevant to advising. Resources for advising are found on website that is maintained by the Dean of the College office.

It is the expectation that faculty advisers will be familiar with the Carleton curriculum and graduation requirements, and will be available to students throughout the year.

The following groups of faculty are not expected to advise:

- faculty in the first year of an appointment
- faculty on continuing contracts (but they may be invited to advise)
- faculty who are away for one or more terms during the year (e.g., on leave or leading an off-campus program)
- faculty in phased retirement, as well as retired faculty

Full-time faculty on a two-year contract are generally expected to advise in their second year.

**Last Reviewed: Jan 7th, 2022**

Maintained by Dean of the College Office

## Alcohol and Other Drugs Policy

### I. Introduction

The Carleton College policy on alcohol and other drugs exists within the context of local, state, and federal laws. The regulations contained in this policy are designed to comply with all applicable City of Northfield ordinances and the laws of Minnesota and the United States, including the Drug-Free Schools and Communities Act Amendments of 1989.

### Philosophical Statement

Carleton College is committed to promoting responsible behavior regarding the use of alcoholic beverages. As an educational institution, the College provides resources through which students are empowered to inform themselves about the physiological, psychological, and sociological effects of alcohol and other drugs upon the individual and the community.

In a civil, safe, and healthy community, members take responsibility for their own actions, and consider the impact that their choices will have on others. All members have a duty to accept their obligations to the group, and to act for the common good. As members of such a community, Carleton students, faculty, and staff will be held accountable for upholding the standards set forth for appropriate behavior.

Above all else, in all actions, both on and off campus, members of the Carleton community shall:

- Demonstrate respect for others in their actions.
- Acknowledge the impact of alcohol on communal living, and work to limit its negative effects.
- Retain autonomy, and thereby accountability for their choices and the outcomes of such choices.

The policies which follow, and the philosophy upon which they are based, are intended to foster the continued growth and development of a respectful and responsible community.

### II. Regulations

1. **Alcohol, other drugs, and paraphernalia on campus:** The college prohibits the unlawful possession, use, manufacture and/or distribution of alcohol and illicit drugs by students and employees on College property or as part of any College activities. The provisions of Northfield city ordinances and laws of Minnesota and the United States including the Drug-Free Schools and Communities Act Amendments of 1989 (Public Law 101-226), shall govern.

- a. No kegs or common containers of alcohol are allowed in private residential spaces (houses, townhouses, residence hall rooms, etc.). The college will confiscate any unlawful or unauthorized items. This includes, but is not limited to paraphernalia such as bongos, pipes, drugs, kegs, beer bongos, etc. Once confiscated, the items will not be returned.
  - b. Persons under 21 years of age are prohibited from drinking alcoholic beverages.
  - c. Persons 21 years of age or older may drink alcoholic beverages only in their private residential rooms or at registered events.
  - d. Alcohol is not permitted in any public area without prior registration. Public areas include but are not limited to: Sayles-Hill, Severance Great Hall, dining halls, residence hall and house lounges/living rooms, study rooms and corridors, all academic buildings and athletic areas, and all outdoor areas owned and operated by the College, including outdoor recreational areas.
  - e. Possession of open containers of alcohol is prohibited at all times at all campus locations, except at registered event locations or in private residential rooms.
  - f. High-risk alcohol-related activities, such as progressives, drinking theme parties, drinking games, beer bongos, and similar behaviors are prohibited.
  - g. Students should not engage in the manufacture or production of any alcoholic beverage on the Carleton campus including, but not limited to, cereal malt beverage (beer), wine, moonshine, and liquor.
  - h. The college recognizes the particular danger of driving while under the influence of alcohol and other drugs. Therefore, students are expected never to use substances and drive.
2. **Alcohol at registered events:** Some public areas may be registered for an event at which alcohol will be available by submitting the appropriate event registration form to the Student Activities Office. A full description of the regulations and responsibilities to which event sponsors are subject is found on the [Student Activities website](#)
- a. Any kegs or common containers (e.g. punch bowls, garbage cans, inflatable pools, etc.) of alcohol may be permitted if the following two criteria are met:
    - i. the event is registered in advance through the Social Event Registration process and approved through Student Activities, **and**
    - ii. the alcohol is served by a College approved licensed third party vendor.
  - b. Hard alcohol is allowed at registered events, but must be approved and served by a college approved licensed third party vendor. For the purpose of this policy, Carleton defines hard alcohol as anything other than beer, wine, or malt beverage.
  - c. All alcohol which is unauthorized will be confiscated along with all other related items (taps, kegs, cups, etc.). Note: This may result in loss of any purchaser's deposit(s). The student host or residents of the event will be held responsible and will face disciplinary action.
  - d. The college recognizes the disruptive effects that alcohol and other drugs can have on the Carleton community. Therefore, all registered events are subject to (but not limited to) the following regulation principles:

- i. Event sponsors may be held responsible for the actions of both individuals and the group. Behavior that violates the living and study rights of other residents is unacceptable.
        - ii. Damages: If individuals responsible for the damage cannot be identified, the event sponsors shall be liable for damage and clean-up charges. The event area must be cleaned and returned to its pre-event condition.
      - e. Small gatherings in private residential rooms need not be registered with the College. Such gatherings are, however, subject to all other regulations regarding alcohol use described in this policy.
- 3. **Social Host Liability:** Anyone over 21 who serves alcohol to someone under 21 may be held civilly liable for any damages subsequently caused by the person under 21.
- 4.
  - a. Social Host Ordinance - City of Northfield (enacted May 2011): The purpose of the social host ordinance is to hold individuals responsible for activities that allow people who are under the legal drinking age of 21 to consume alcohol. Students who host parties where underage drinking occurs can be charged under this social host ordinance. The consequences for violating the Northfield Social Host Ordinance could be up to 90 days in jail and up to a \$1,000 fine, and is a misdemeanor. According to the ordinance it is essential to take reasonable steps to curb underage consumption.
  - b. Reasonable Steps May Include:
    - i. Controlling access to alcohol and alcoholic beverages in such a manner that no underage person has access to the alcohol and alcoholic beverages at the gathering or event; or
    - ii. Directly supervising the activities of underage persons at the gathering event either in person or through a responsible adult; or
    - iii. Checking identification of the attendees of the gathering to determine age; or
    - iv. Other actions made by the person to prevent possession or consumption of alcohol or alcoholic beverages by the underage person(s) present.
- 5. **Students on Off Campus Study:** Students participating in off-campus study programs are subject to local laws, as applicable. Students who jeopardize their own health, the health and safety of others, or the integrity of the living and learning environment on the program may be required to leave the program. The program director, in consultation with the VP/Dean of Students (or designee), has the authority to remove a student from the program under these circumstances.

### III. Sanctions and Responsive Action

1. **Sanctions:** A violation of this Policy is a “violation” within the meaning of the Community Standards Policy, III.C.5. All sanctions listed there (restitution, service, counseling, chemical dependency evaluation, revocation of privileges, warning, censure, disciplinary probation, suspension, and expulsion) are applicable. In addition, for violations of this Policy, sanctions may include mandatory education, counseling, fines, community services, and/or evaluation, conducted on or off-campus.
2. **Responsive Actions:**

The College recognizes that students are expected to obey the law and take personal responsibility for their conduct. The College will respect the privacy of student's personal lives. The college will hold students accountable if and when:

- a. Students' use of alcohol or other drugs threatens order, causes public disturbances, poses danger to the students and/or others, or results in property damage;
- b. Illegal use of alcohol and other drugs comes to the attention of College officials. Drunk and disorderly behavior when under the influence of alcohol is a violation of the alcohol policy. Persons under the influence of alcohol will be held responsible for their actions.
- c. Any violations of this policy by students, including violations of the "Social Event Registration Guidelines," will be brought to the attention of the Dean of Students staff. Violations by faculty or staff will be brought to the attention of the Dean of the College or Vice President of the College, respectively.
- d. Violations will be reviewed and sanctions imposed by the Dean of Students, the Dean of the College, the Vice President of the College, or the Judicial Hearing Board.

#### IV. Resources

Alcohol and drug counseling, treatment, and rehabilitation/re-entry programs for students, staff, and faculty are available from a variety of sources. Anyone who recognizes a personal alcohol or drug problem, is concerned about another student or co-worker, or who may wish to know more about alcohol and drug abuse may contact:

1. **Internal Sources:** (phone extensions; add area code 507 and 222 prefix if dialing from non-Carleton phone, e.g. 507-222-4248)

1. **Students:**

- Office of the VP/Dean of Students: 4248, 4075
- Residential Life: 4072
- Student Health and Counseling: 4080
- For more information on resources related to recovery, please see the [Office of Health Promotion](#) website.

2. **Faculty and Staff:**

- Dean of the College: 4303
- Employee Assistance Program: 1-866-326-7194
- Human Resources: 7471

2. **External Sources:** This website offers support resources within Northfield and the surrounding communities: <https://northfieldhci.org/resources/>

#### Endnote

<sup>1</sup> Summary of Drug-Free Schools and Communities Act Amendments of 1989 (Public Law No. 101-226)

A. The new Drug-Free Schools and Communities Act Amendments of 1989 (Public Law No.

101-226) require colleges and universities to adopt a program to prevent the unlawful use of illicit drugs and alcohol by students and employees. A College's failure to comply with the Act can result in the immediate loss of eligibility to receive federal funding and any other form of Federal financial assistance, including federally funded financial aid.

B. All colleges must give notice to each student and employee that unlawful use of drugs and alcohol is prohibited, describe applicable legal sanctions and health risks, list counseling programs available, advise students and employees that violation of the policy could lead to penalties up to and including expulsion from the College, termination of employment and/or referral to civil authorities for prosecution, and review the policy biennially.

C. Policy Requirements: A college's drug prevention program must prohibit, at a minimum, the unlawful possession, use or distribution of illicit drugs and alcohol by employees and students on college property or as part of its activities.

Presented to and adopted by the College Council on May 29, 2001. Approved by the Executive Committee of the Board of Trustees June 21, 2001.

## V. Information About Alcohol, Tobacco and Other Drugs

[Description of College Student Substance Use](#)

[Health Consequences of Drug Use](#)

[Health Risks of Alcohol and Tobacco Use](#)

[Facts on E-cigarettes](#)

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*Adopted by College Council on May 29, 2001.*

*Approved by the Executive Committee of the Board of Trustees June 21, 2001.*

*Note: Information About Alcohol, Tobacco and Other Drugs policy revised/updated August 2011*

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For [Faculty](#), [Staff](#), [Students](#)

**Last Reviewed: Aug 17th, 2021**

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Maintained by Dean of Students

## Alcohol Service at College Events

Serving alcohol at campus events is both a long standing tradition and an ongoing privilege. At the same time it is College policy and intention to fully comply with the laws of Minnesota.

Bon Appétit Management Company, Carleton's food service contractor, has a Minnesota Liquor License for serving alcohol on the Carleton campus. Specifically, Bon Appétit is the only caterer who may serve alcohol in Sayles-Hill or at any event at which Bon Appétit caters food at Carleton.

Carleton College grants permission for the reasonable and lawful consumption of alcoholic beverages at institutional events when the sponsoring party agrees to provide for the event in accordance with the laws of the State of Minnesota.

For the purposes of this policy, an **Institutional Event** is the following:

An Official College event that is sponsored or scheduled by one or more academic departments or administrative offices to take place on the campus for members of the Carleton College community. It is recognized that students, faculty, staff, alumni, trustees, guests, and members of the community may attend such events. Examples of these events include Convocation receptions, Family Weekend events, Homecoming weekend events, Employee and Community Holiday Receptions, Employee Recognition Celebrations, the Nutting Garden Party for Opening Convocation, Trustee Events, Advancement and Donor Recognition Events, Commencement events, Alumni Reunion weekend events and catered receptions and dinners for guest speakers or performers.

**Alcohol served at an Institutional Event must be purchased by and served by Bon Appétit, the licensed caterer.** The following is the protocol for the serving of alcohol at an Institutional Event:

- Bon Appétit staff are responsible for ensuring that only legally eligible adults may consume alcoholic beverages.
- Alcoholic beverage containers may only be opened by Bon Appétit staff.
- No alcoholic beverages may be removed from an event by anyone other than Bon Appétit staff. Event attendees may not take partially full open containers home with them.

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*Approved September 14, 2010*

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Last revised August 1, 2018

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For [Alumni](#), [Faculty](#), [Families](#), [General Public](#), [New Students](#), [Prospective Students](#), [Staff](#), [Students](#)

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**Last Reviewed: Dec 9th, 2019**

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Maintained by Auxiliary Services

## **Animals on Campus**

**Definition:** Animal—for these purposes, any species that is not human.

**Applicable Public Law.** Any person bringing an animal(s) onto the property of Carleton College should be aware that the City Code of Northfield applies to their visit. Please refer to Part II, Chapter 10, Article II, 10-31 through 10-98.

**Animals in Buildings.** No animals are allowed in any Carleton College buildings including academic, administrative, and residential buildings that the College owns with the exception of research animals used in the work of College departments, service and emotional support animals (see below), and support animal visits scheduled by the Health Promotions Office. Faculty, staff, or students may not pet-sit or invite an animal into College housing. There are a few college houses that are exceptions from this policy because of their required long-term residential nature including Nutting House and Headley Cottage. In addition, Sperry House and Seccombe House are identified as pet-friendly employee rental housing.

**Animals on the Grounds.** Animals must be leashed and under the direct control of their owner. Animals running freely or that are tied up and unattended are not under the direct control of their owner will be reported to the City of Northfield Animal Control Officer for pickup as provided for in the City Code.



Animals that are left in their owner's vehicle will be reported to the City of Northfield Animal Control Officer for pickup as provided for in the City Code if they appear to be under duress from heat, inadequate ventilation, or severe cold.

All animal wastes must be picked up and properly disposed of by the associated owner.

**Public Safety** Persons who wish to report violations of this policy may call Carleton College Security at x4444.

**Service or Emotional Support Animals** While the college does not permit pets on campus, it does comply with federal law, American Disability Act and the Fair Housing Act in the regards to the presence of Service or Emotional Support Animal for individuals with appropriately documented disabilities. Contact Director of Disability Services (students) or Human Resources (employees) for guidelines and regulations for the accommodation of Service or Support animals in campus housing or in campus buildings.

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Last revised November 6, 2017

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For [Alumni](#), [Faculty](#), [Families](#), [General Public](#), [New Students](#), [Prospective Students](#), [Staff](#), [Students](#)

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**Last Reviewed: Mar 1st, 2022**

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Maintained by Facilities

## Campus Use by Unenrolled Students

The events and activities of the College exist for the benefit of enrolled students. Students who are not enrolled in the College but living in Northfield during a particular year or term are to be regarded as members of the local community and welcomed to the College as such, but they are not to take part in events, productions, trips, College services, etc., that are ordinarily reserved for Carleton students.

When a student is not enrolled, their OneCard account will retain any remaining Schiller's value, but other privileges will be deactivated. To review OneCard features, please see [OneCard Information Center](#) website.

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For [Students](#)

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**Last Reviewed: Mar 23rd, 2021**

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Maintained by Dean of Students

## Civic Duty

### Jury Duty, Election Judging, American Red Cross

Regular employees called to jury duty or who serve as a volunteer as an Election Judge or for the American Red Cross will retain all rights and privileges as College employees while on such duty. Therefore, the College will supplement pay so that in total, employees will receive 100% of their regular salary. If paid for their services, employees are required to turn in the check they receive to the cashier in the Business Office. Employees may keep the portion of the check received for mileage. American Red Cross employees who have been requested to be certified disaster service

volunteers, with the authorization of the employee's supervisor, may be granted a leave not to exceed ten working days in each fiscal year. The amount of Civic Duty pay is calculated based on the employee's budgeted weekly hours. Employees must notify their immediate supervisor at least two weeks prior to their need to use this leave. Questions on eligibility should be directed to Human Resources.

### **Subpoenaed Employee**

An employee subpoenaed to appear on behalf of the College in court during work hours will be paid for his or her normal scheduled work hours. Time off for subpoenas by other entities is unpaid; however, a staff member may use accrued vacation or floating holiday time to cover the absence.

### **Voting**

Employees who are not able to vote outside of their work hours are permitted paid leave for the time necessary to appear at the employee's polling place, cast a ballot, and return to work on the day of the election. Elections covered are state primaries, general elections, United States Senator/Representative or State Senator/Representative.

Hours used for the above should be noted in Web Time Entry as Civic Duty under the "Other Time Types" drop down.

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Last revised July 13, 2012

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For [Staff](#)

### **Last Reviewed: Jan 6th, 2021**

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Maintained by Human Resources

## **Common Time**

During academic terms, time set aside over the lunch hour on Tuesday and Thursday is designated as "Common Time." Appropriate uses of Common Time include:

1. All-campus events (e.g., LTC events, guest speakers, recitals);
2. Programs related to convocations (e.g., discussion groups prior to or following a convo speaker);
3. Departmentally-based events (e.g., comps talks and other student presentations, a faculty forum, brown bag lunches for faculty and students);
4. Committees or other groups that meet only on an ad hoc basis, irregularly or only for a single term (e.g., department review committees, task forces and subcommittees that meet only periodically);
5. Lunch, socializing, advising, independent study meetings, etc.

Common Time should not be used for:

1. Required class meetings or required class-related activities;
2. Regularly scheduled departmental, administrative or committee meetings;

3. Regularly scheduled meetings of faculty or staff members with students (e.g., weekly meetings between supervisors and student language assistants, regular meetings between residential life staff and RAs).

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For [Faculty](#), [Staff](#), [Students](#)

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**Last Reviewed: Sep 9th, 2021**

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Maintained by Dean of the College Office

## **Community Standards Policy**

At Carleton College we celebrate both individuality and a strong sense of shared community values. Students who enter this academic and social community make a commitment to healthy exchanges of ideas and acknowledge that living in a community requires tolerance, compromise, and sensitivity to others. It is important to treat others with respect, dignity and understanding in order to create a community where civility is valued. At times each student will have to renegotiate personal boundaries and fit individual freedoms into the broader context of responsibility to the student community and the values of the College. In addition, Carleton College is not an isolated sanctuary apart from the rest of society. Consequently, all students are subject to local, state, and federal law, as are other residents of Northfield, MN.

The values, policies and procedures described below have been developed through participatory governance, including the approval of College Council and the Carleton College Board of Trustees. They reflect the continuing, actively renewed consensus of the College community.

### **I. Carleton's Values**

#### **A. Student Development**

Students are recognized as adults and therefore should receive the respect and assume the responsibilities that come with this status. The journey from late adolescence to adulthood is not a linear progression. It is an exciting, confusing, and stressful developmental process unique to each individual. The mission of the College is "to liberate individuals from the constraints imposed by ignorance or complacency and prepare them broadly to lead rewarding, creative, and useful lives." In that spirit, students are routinely challenged in the classroom and in their daily lives to test boundaries, take risks, and stretch themselves. Over time, all students engage in a wide range of developmental tasks, including:

- Enhancing academic skills.
- Defining and re-defining educational and career goals.
- Formulating personal identity.
- Adjusting to community/group living.
- Developing appropriate self-management, health, and wellness skills.
- Analyzing, forming or confirming values.
- Developing a mature style of relating to others and exploring interpersonal relationships.

- Accepting the consequences of one's actions.
- Understanding and developing appreciation for cultural and lifestyle differences.
- Developing a sense of fairness and compromise.
- Developing skills to work effectively in groups and participate in an enterprise larger than oneself.

## **B. Self-Governance and Personal Freedom**

Fundamental to a Carleton experience is the value of self-governance. Most students come directly from home and secondary school environments that are much more structured than life at Carleton. Personal freedom is both an opportunity and a challenge. In the exercise of personal choices, students assume certain responsibilities:

- Taking ownership of their actions and expressions of opinion.
- Insuring that their actions or the actions of others do not infringe upon the rights of others or the fundamental integrity of the living and learning environment.
- Respecting the rights of others to the same freedom of expression claimed for themselves.

The College does not police its students nor act in *loco parentis*. We do, however, observe and respond to student behavior, and offer guidance, advice, and counsel to assist students in making good decisions for themselves and for the community. We expect students to comply with the community values, standards, and expectations set forth in this policy. At times we intervene in the lives of students to assist in setting boundaries, especially for those who are unable or unwilling to exercise personal freedom responsibly.

## **C. A Safe and Healthy Living-Learning Community**

Carleton College has a deep commitment to providing a safe and secure environment, in which students can live, learn, work and pursue their interests. Threats to personal safety, compromises of the learning environment, and disruptions of students' rights to live with a reasonable degree of peace are cause for concern and intervention.

## **D. Academic Freedom**

As an institution dedicated to learning and teaching, Carleton College is committed to the principle of free expression and exploration of ideas in an atmosphere of civility and mutual respect. The College therefore also embraces the related principle that all members of its community shall have access to its educational facilities, activities, information resources, and employment without regard to race, color, creed, religion, sex, national origin, marital status, sexual orientation, status with regard to public assistance, age, or disability. These principles guide the College's relationships with individuals and should guide the interaction of all members of the community.

### **1. Open Discourse**

A diverse student body, faculty, and staff participating in a learning community of civil and open discourse provide the most productive environment for genuine

liberal learning. Carleton recognizes and affirms the desirability for individuals to have the support of others who share their backgrounds or values, as well as the concomitant necessity for each person to take the risks, and accept the challenges inherent in engaging in genuinely open conversation with others who are different from oneself.

## **2. The Educational Process**

Although the College attempts through its policies to limit or eliminate certain behaviors and actions that may be hurtful to others, Carleton cannot guarantee that the environment will always be comfortable for all members of the community. Often, the educational process is disturbing and unsettling. When one's ideas are under attack and one's values are being challenged, the effect may be simultaneously painful and highly educational. Thus, behavior that is disturbing or unsettling to an individual or group is not necessarily discriminatory. In this regard, it is imperative that teachers and students be able to take controversial positions without fear, in accordance with the principle of academic freedom.

## **3. Civility**

All discourse, as well as treatment of individuals--in offices, classrooms, residences, or any other setting or mode of communication--should be respectful of the individual, whether or not there is disagreement on matters of substance, taste, politics, or evidence. Creating and sustaining a climate of civility in an institution of voluntary membership is the responsibility of each individual.

## **4. Freedom from Discrimination**

While the nature of an academic community is to provide a milieu for the expression, criticism and discussion of the widest range of opinions, it does not provide license for bigotry in the form of demeaning, discriminatory speech or actions. Thus, the presentation of a reasoned or evidenced claim about a societal group that offends members of that group is to be distinguished from a gratuitous denigrating claim about, or addressed to, an individual or group. The former is bona fide academic behavior while the latter may demean, degrade or victimize in a discriminatory manner and, if so, undermines the above principles.

Discriminatory speech and actions are especially abhorrent when they are made anonymously, for anonymity precludes the possibility of an exchange and exploration of ideas; moreover, such an anonymous message--by the very nature of its delivery--is a threat to the recipient. Discrimination by one person against another is also particularly abhorrent when the first person is in a position of power with respect to the second, whether in the academic, administrative, political, or social hierarchy on the campus.

## **II. Student Conduct: Expectations, Rules, and Regulations**

Carleton accords students the opportunity to learn about life, to challenge their own values and the ideas and values of others, and, in so doing, to become responsible members of the

College community. While the College imposes no specific moral standard or creed on its students, each student is responsible for living up to the values cited above and the policies, rules, and regulations detailed below. Failure to do so may result in disciplinary action.

The expectations, rules and regulations for Carleton College students and the policies detailed below pertain to students on and off campus, while participating in College programs and activities, domestic or international. Student behavior occurring anywhere other than on property owned or rented by Carleton will be of concern to the College if, in the judgment of the Dean of Students, there is sufficient information to determine that the behavior alleged would adversely and seriously affect the student's suitability as a member of the College community.

When any violation of College policy, rule or regulation is motivated by intolerance or hate directed toward an individual or group based on characteristics such as race, color, national origin, gender, sexual orientation, or political or religious belief, the sanction administered by the appropriate administrative officer or hearing board will be increased in severity and may include separation from the College.

#### **A. Academic Honesty and Personal Integrity**

We expect students to do their own academic work and to be honest and truthful in their interactions with College officials. The following actions are prohibited:

1. Cheating, plagiarism, accessing unauthorized materials, sharing information on any exam with others before the end of all final exams, abuse of library or other instructional materials, misuse of library privileges, and unlawful duplication and/or distribution of copyrighted materials.
2. Knowingly furnishing false information to the College with intent to deceive or defraud.
3. Forgery; alteration or misuse of documents, records or identification.

#### **B. Responsibilities to the College**

We expect students to conduct themselves reasonably and appropriately, on and off-campus. This includes respectful responses to College officials, appropriate use of College facilities, and compliance with sanctions applied through established judicial procedures. The following conduct is prohibited:

- Intentional obstruction or disruption of teaching, research, administration, disciplinary proceedings or other College activities.
- Disorderly, overly aggressive, or obscene conduct, or breach of peace on College-owned or leased property or at College-sponsored or supervised functions.
- Refusal to comply with the directions of a College official or hindering an official acting in the performance of his/her duties.
- Unauthorized use of college facilities, including but not limited to:
  1. Unauthorized access to or use of buildings and other facilities such as tunnels, roofs, the water tower, construction zones, and other prohibited

areas.

2. Improper possession, use, or duplication of keys or keycards; abuse of the card access system.
  3. Unauthorized access to computers, computer systems or computer accounts; deliberately attempting to disrupt the performance of a computer system/network; infringement of copyrights or license agreements; forging e-mails; illegal copying of software; breaking in or attempting to break into the College's or another person's system; stealing passwords or using the computing system to harass others.
- Attempted or actual theft or damage to College property.
  - Misappropriation of College or student organization funds; tampering with a student government election or selection process.
  - Failure to observe sanctions applied through established judicial process.
  - Conduct which adversely and seriously affects the student's suitability as a member of the College community

### **C. Respect for Individuals and Personal Property**

We expect students to treat all members of the College community with care, respect and dignity. The following conduct is prohibited:

- Physical, verbal or psychological abuse, harassment, intimidation or other conduct (whether willful or negligent) that threatens or endangers the health, well being, or safety of oneself or of any person on College-owned or leased property, or at College-sponsored or supervised functions.
- Sexual misconduct, including sexual assault, sexual harassment, or sexually inappropriate behavior. (See Policies Against Sexual Misconduct)
- Hazing, defined as an act which endangers the mental or physical health or safety of a student, or which destroys or removes public or private property, for the purpose of initiation, admission into, affiliation with, or as a condition for continued membership in a group or an organization.
- Attempted or actual theft of or damage to personal property.

### **D. Health, Safety, and the Law**

Students are expected to make sound decisions regarding the health and safety of themselves and others and to comply with laws applicable to all residents of Northfield. The following conduct is prohibited:

- Alcohol: The use of alcohol except as permitted by law; the abuse of alcohol by any student whether of legal age or not. (See the College Alcohol and Drug Policy.)
- Drugs: The use, possession, sale, transfer, distribution, manufacture or cultivation of any controlled substance, except prescription drugs used by the person for whom and for the purpose for which they were prescribed.
- Dangerous implements or materials: The use or possession of explosives,

firecrackers, firearms, BB guns, explosive materials, or knives with blades in excess of four inches on campus property. (The Dean of Students may permit a student to have a firearm on campus for hunting season, but such permission is discretionary with the Dean of Students. If permission is given, the firearm must be kept secured in the Security Office.)

- **Safety and Security:** Misusing or tampering with fire alarm systems, fire extinguishers, or other security equipment, or compromising any College security system. (See also Fire Safety in the Housing and Residential Living section.)

## **E. Compliance with College Policies**

Many programs and facilities have established policies and procedures that govern student behavior. Students are expected to comply with all written policies of the College, which include but are not limited to:

- Motor vehicle policy.
- Residential life policies.
- Computing and telecommunications policies.
- Library policies.
- Policies governing the use of recreational facilities and activities.
- Policies governing student organizations and club sports.
- Dining hall and meal plan policies.
- Smoking policy.
- Student records policy.

## **III. Responses to Alleged Violations of College Policy**

### **A. Executive Authority**

The President of the College (or his/her designee) has the obligation to attempt to assure the safety of individuals, the protection of property, the continuity of the educational process, or the preservation of the legal status of the College. In executing these obligations, the President (or his/her designee) is specifically empowered to determine the status of any student at any time. The President (or his/her designee) may remove individuals from campus or prohibit individuals from being on campus and expel, suspend, or otherwise take action with respect to such individuals. If a student is expelled, suspended, withdrawn, or placed on leave of absence as a result of the exercise of executive authority, the terms upon which resumption of normal student status will be permitted, if any, will be stated at the time of the decision. In any case, no student will be expelled without the specific consent of the President of the College.

### **B. Informal Response**

The system of response to allegations of student misconduct is an educational one. The very nature of a residential college creates opportunities and challenges for young adults living in community, some for the first time. It is not unusual for young adults in this situation to, on occasion, exercise poor judgments, act insensitively or without



thinking, or engage in inappropriate behaviors. Consequently, many minor incidents (e.g., excessive noise, roommate conflicts) are handled informally through conflict resolution, mediation, or simple agreements that the parties involved will cease and desist a certain conduct. Many minor incidents are resolved with the assistance of peer counselors or Student Life staff. Such cases usually do not result in official disciplinary records or sanctions, but may be introduced at a later date if patterns of unacceptable behavior emerge.

### C. **Formal Disciplinary Action**

When it is neither possible nor appropriate to resolve a conflict or disciplinary matter informally, the alleged violation is forwarded to the Dean of Students Office for action by peer counselors (e.g., Resident Assistant) or Student Life staff (e.g., Area Director, Security, Class Dean). There are three major categories of violations, each with a separate and distinct method of resolution: social misconduct, academic honesty and personal integrity, and sexual misconduct.

#### 1. **Reports and Investigations of Alleged Violations**

Any member of the Carleton College community may file a complaint. Incident reports are sent and complaints made to the Dean of Students Office or the appropriate office within Student Life. As part of the investigation the staff member determines whether the alleged violation is an act of academic honesty and personal integrity, sexual misconduct, or social misconduct.

#### 2. **Administrative Resolution**

Once an investigation is complete, the investigative report is forwarded for action to one of three judicial authorities:

- a. **Academic Dishonesty:** The Subcommittee of the Academic Standing Committee (an Associate Dean of Students and an Associate Dean of the College).
- b. **Sexual Misconduct:** The Community Board on Sexual Misconduct (CBSM). For more information about the CBSM and the hearing process, see the [Sexual Misconduct Prevention and Response website](#).
- c. **Social Misconduct:** A designated member of Student Life staff (e.g., a member of the Residential Life staff).

The appropriate judicial authority determines whether a violation of college policy has occurred, based on a preponderance of evidence (i.e., whether it is more likely than not that a violation occurred). If a violation is found, sanctions are assigned (See III.C.5. below).

#### 3. **Appeal Procedures**

Students found in violation through administrative resolution may appeal the finding of a violation or the sanctions assigned, or both, to the appropriate appeal authority, as described below, within seven (7) days of receipt of the original disciplinary decision:

a. **For Academic Dishonesty**

The [Academic Standing Committee](#) (ASC) hears appeals of decisions by the Subcommittee of ASC. The respondent may appeal the finding of a violation, sanction(s), or both.

b. **For Sexual Misconduct**

Either party has the right to appeal the decision of the Community Board on Sexual Misconduct (CBSM) Panel. The purpose of an appeal is to review the adjudication process. Appeals are accepted on the basis of one or more of the following:

1. procedural errors that may have substantially impacted the final decision;
2. relevant new information that was not available at the time of the hearing, and would have substantially affected the Panel's decision;
3. sanctions that are substantially inconsistent with past institutional responses.

The right of appeal is contingent upon participation in the investigative and hearing process. An appeal must be made in writing to the Complaint Coordinator within five business days of the date that the party receives written notification of the Panel's decision and imposed sanctions.

An appeal will generally follow this process for review:

1. A student will submit a written appeal indicating on what grounds they are appealing to the Complaint Process Coordinator within 5 business days of the date that the party receives written notification of the Panel's decision and sanctions.
2. The Coordinator will communicate the appeal to the VP Dean of Students (or the VP designated to review the appeal), the Chair of the CBSM, and the other student(s) involved in the complaint.
3. The appealing student will meet with the Coordinator and the VP reviewing the appeal.
4. The Chair of the CBSM will submit to the VP an informational response to the appeal, detailing the Panel's procedures and decision-making process with regards to the issue being appealed. The VP may meet with the Chair to discuss.
5. The VP may deny the appeal, affirm the Panel's decision, alter the Panel's decision (in respect of determinations and/or sanctions), or return the case to the CBSM for further process.
6. The VP will then notify both parties in writing as to her/his determination, or her/his decision to return the case to the CBSM.

The VP will act upon a written appeal within a reasonable time, normally five business days after receipt of the appeal. Decisions of the VP are the

final institutional response and may not be appealed.

c. **For Social Misconduct**

The Judicial Hearing Board (JHB) hears appeals of decisions by the Dean of Students or his/her delegate. The respondent may appeal the finding or sanction(s), or both.

1. Composition: Two students, appointed by the CSA; two faculty members appointed by the FAC (one of whom serves as the Hearing Officer); one staff member, appointed by the President. The Hearing Officer votes only to break a tie. Alternates: One Hearing Officer, two students, one faculty member, one staff member (appointed as above). An Associate Dean of Students serves as the Chair (non-voting member) of the JHB to ensure proper procedure is followed.
2. Appeals of decisions by the JHB. The respondent may appeal decisions of the JHB only on the basis of procedural error or new information. The Dean of Students and the Hearing Officer determine whether the JHB re-hears the case.

4. **Hearing Process**

Each hearing board described above has written guidelines of hearing procedures, available from the Dean of Students Office. All parties are given a copy of the guidelines prior to a hearing. For information about the sexual misconduct complaint process and hearing procedures, see the [Sexual Misconduct Prevention and Response](#).

a. **Coordination of the Hearing**

The Dean of Students Office coordinates all hearings. The Dean of Students (or his/her delegate) will:

1. Prepare a formal charge on behalf of the College and provide written notification to the respondent of the charge.
2. Inform all parties of the time and location of the hearing. A hearing is scheduled within one week after the student has been notified of the charge or whenever is reasonable, given the availability of all parties and hearing board members. The Dean of Students will notify the respondent if the case cannot be heard within a week of receipt of the charge letter. The respondent must attend the hearing.
3. Answer any questions and resolve issues regarding the hearing process.
4. Confirm the participation of hearing board members, including determining if any hearing board member has a conflict of interest or cannot otherwise attend the hearing. In such cases, alternates will be notified. The Judicial Hearing Board and the Community Board on Sexual Misconduct share board members to ensure proper and appropriate panelist availability, experience, and impartiality. It is up

to the discretion of the Chair of the CBSM and/or the JHB to select panelists from either pool.

5. Attend to all organizational matters pertaining to the hearing, including providing copies of all written statements for participants and hearing board members.
6. Present the charge on behalf of the College.
7. Provide written notification to the respondent of the outcome of the hearing and of rights to appeal.
8. Oversee compliance with any sanctions.
9. Maintain student disciplinary records.

**b. Purpose of the Hearing**

To determine, based upon a preponderance of evidence, whether a violation of College policy occurred; and if so, to assign sanctions (see III.C.5 below). Preponderance of the evidence means it is more likely than not that a violation occurred. All procedural questions are subject to the final decision of the Hearing Officer. In hearings involving more than one accused student, the Dean of Students and the Hearing Officer will determine whether hearings are scheduled jointly or separately.

**c. Rights and Responsibilities of the Respondent**

1. To respond to allegations and offer testimony on the incident in question.
2. To call witnesses who can offer material testimony.
3. To present evidence pertinent to the case.
4. To question witnesses and challenge evidence.

**d. Advisors**

The respondent has the right to have in attendance at a hearing two advisors of his/her choosing. The role of advisors is to offer support and limited assistance in the hearing. The respondent is responsible for presenting his/her own case. Advisors may consult with and assist the respondent in doing so, but are not permitted to speak for or present the case on behalf of the student he/she is there to support.

In cases where the complainant is another student, the complainant has the right to advisors, as described above.

In cases of sexual misconduct, students will be provided with a trained Sexual Misconduct Support (SMS) Advisor. For more information, see the [Sexual Misconduct Prevention and Response](#) website.

**e. Hearing Board Decisions**

Once all testimony has been heard, the hearing is closed to all participants.

The hearing board then deliberates to determine whether a violation has occurred, and, if so, to determine sanctions. The Hearing Officer presides. The determination shall be made on the basis of a preponderance of evidence. Hearing board decisions are reached by a majority vote. Decisions are communicated to the respondent at the conclusion of the deliberations. Written notification is provided as soon as possible. The decisions of hearing boards are final.

f. **Privacy and Confidentiality**

All hearings are private and confidential. Admission of any person to the hearing shall be at the discretion of the Hearing Officer.

5. **Findings and Sanctions**

The hearing officer or hearing board determines whether the respondent has violated a College policy. If there is a finding of a violation, sanctions are determined. Sanctions are meant to assign accountability and, ideally, to provide an opportunity for learning from mistakes. The following is a non-exhaustive list of possible sanctions, listed from minimum to maximum. In most cases first offenses of a minor nature will receive lesser sanctions than more serious violations and/or repeated offenses. The hearing officer or hearing board may modify or combine any of the options listed below, or determine its sanctions.

Disciplinary sanctions may be imposed upon groups and organizations as well as individuals. More than one sanction may be imposed at one time.

a. **Disciplinary Sanctions**

1. Censure and Warning: Written notification that the student's behavior is unacceptable and that continuation or repetition of such conduct may result in more severe disciplinary action.
2. Residential Probation: Students are put on residential probation after repetitive violations or blatant disregard for the broader residential community.
3. Disciplinary Probation: A written reprimand including a statement that any further violation of College policy may result in suspension or expulsion.
4. Interim Suspension: Immediate separation from the College for a period defined by the Dean of Students to:
  - a. ensure safety and well-being of people and property; or
  - b. prevent disruption or interference of normal operations of the College.
5. Suspension: Termination of a student's enrollment at the College for a specified period of time. This may also include restricting access to campus or College events during the suspension.
6. Expulsion: Permanent termination of enrollment, including no further access to campus or any College events without written approval

from the Dean of Students.

**b. Additional Sanctions**

1. Restitution: Reimbursement for damage to or misappropriation of property. At the discretion of Student Life staff, this may take the form of work, community service, or other compensation such as service to the College community.
2. Life Safety Fines: Any violations of community standards that could pose a threat to individual's lives. Fines will be assessed based on the severity of the violation.
3. Chemical Health Assessment: Performed by a qualified chemical dependency counselor for the purpose of determining possible patterns of abuse. The student is encouraged to follow the treatment recommendation(s) provided by the counselor.
4. Revocation of Privileges: Exclusion from college housing, lose right to host events/gatherings in residence hall spaces, participation in extracurricular college activities or removal from other activities (e.g., participation in an off-campus program).
5. Other: Student Life staff may choose to administer a sanction not mentioned above, in line with the student conduct philosophy.

**IV. Disciplinary Records**

**DISCIPLINARY RECORD RETENTION**

Records of disciplinary action are maintained in the confidential Dean's Disciplinary File in the Office of the Dean of Students. Disciplinary records are part of the student's education record and are therefore subject to privacy protections under the College's Student Records Policy, as required by The Family Education and Privacy Act (FERPA).

Disciplinary actions may be taken by members of the Student Life staff or one of the judicial boards (Academic Standing Committee, The Judicial Hearing Board, The Sexual Misconduct Review Board.). These written citations include a description of the specific violation of College policy and the resulting sanctions, which range from warnings to expulsion.

- Records of disciplinary status up to and including disciplinary probation are maintained in the Dean's Disciplinary File until graduation or until two years after withdrawal from the College. These records are not noted on the student's transcript.
- Records of disciplinary suspensions are maintained for five years after the student's separation from the College. Suspensions are coded "withdrew" on the academic transcript.
- Records of expulsion are maintained in the Dean's Disciplinary File for ten years after the student's separation from the College and recorded permanently on the student's academic transcript as "disciplinary dismissal."

Students have access to their own disciplinary records. The Dean of Students and staff have access on a "need-to-know" basis. Otherwise, records may be released to third parties only

with written consent of the student.\* For further detail on the maintenance and disclosure of student records, see Student Records Policy.

\*In sexual misconduct cases, the complainant is also informed of the decision.

Disciplinary Record Retention revised and approved: College Council May 2003, Board of Trustees June 2003. Updated August 2012.

## V. Parental Notification

Though parental notification is permitted under law in most cases, the College prefers to communicate directly with students as adults. Customarily, the Dean of Students Office does not notify parents concerning policy violations that do not involve suspension or expulsion from the College. However, should a student receive a sanction that suggests that any future violation may lead to suspension, the Dean of Students has discretion to determine whether the student or a college official should notify parents about the student's status or other serious concerns.

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*Approved by Board of Trustees Executive Committee on June 20, 2002.*

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*Carleton's Values: Approved on April 8, 2003.*

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*Student Development: Approved on April 8, 2003.*

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*Self-Governance and Personal Freedom: Approved on April 8, 2003.*

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*A Safe and Healthy Living-Learning Community: Approved on April 8, 2003.*

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*Academic Freedom: Approved on April 8, 2003.*

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*Open Discourse: Approved on April 8, 2003.*

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*The Educational Process: Approved on April 8, 2003.*

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*Civility: Approved on April 8, 2003.*

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*Freedom from Discrimination: Approved on April 8, 2003.*

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*Student Conduct: Expectations, Rules, and Regulations: Approved on April 8, 2003.*

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*Academic Honesty and Personal Integrity: Approved on April 8, 2003.*

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*Responsibilities to the College: Approved on April 8, 2003.*

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*Respect for Individuals and Personal Property: Approved on April 8, 2003.*

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*Health, Safety, and the Law: Approved on April 8, 2003.*

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*Compliance with College Policies: Approved on April 8, 2003.*

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*Responses to Alleged Violations of College Policy: Approved on April 8, 2003.*

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*Executive Authority: Approved on April 8, 2003.*

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*Informal Response: Approved on April 8, 2003.*

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*Formal Disciplinary Action: Approved on April 8, 2003.*

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*Reports and Investigations of Alleged Violations: Approved on April 8, 2003.*

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*Administrative Resolution: Approved on April 8, 2003.*

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*Appeal Procedures: Approved on April 8, 2003.*

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*For Academic Dishonesty: Approved on April 8, 2003.*

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*For Sexual Misconduct: Approved on April 8, 2003.*

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*For Social Misconduct: Approved on April 8, 2003.*

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*Hearing Process: Approved on April 8, 2003.*

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*Coordination of the Hearing: Approved on April 8, 2003.*

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*Purpose of the Hearing: Approved on April 8, 2003.*

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*Rights and Responsibilities of the Respondent: Approved on April 8, 2003.*

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*Advisors: Approved on April 8, 2003.*

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*Hearing Board Decisions: Approved on April 8, 2003.*

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*Privacy and Confidentiality: Approved on April 8, 2003.*

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*Findings and Sanctions: Approved on April 8, 2003.*

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*Disciplinary Sanctions: Approved on April 8, 2003.*

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*Additional Sanctions: Approved on April 8, 2003.*

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*Disciplinary Records: Approved on April 8, 2003.*

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*Parental Notification: Approved on April 8, 2003.*

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For [Students](#)

**Last Reviewed: Mar 1st, 2022**

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Maintained by Dean of Students

## **Contributing to Landscape Improvements and Maintenance**

The College accepts gifts that provide funding to improve or support the maintenance of the campus, Cowling Arboretum, and other College-owned land. Proposed gifts for those purposes will be subject to the following policies and procedures.

1. The College strongly encourages donors to support operations and capital improvements through undesignated gifts, affording the College the greatest flexibility in applying funds to projects of the greatest need.
2. Designated gifts are appropriate in some circumstances but should provide support for existing needs, plans, intentions, or programs.
3. Initial contact with the College for information on or discussion of potential projects must be made through the Development Office, which also will coordinate project selection and gift arrangements. The Development Office will consult with the Facilities staff to determine feasibility and for preparation of plans, designs, and cost estimates.
4. Donations for special projects should provide funding for the entire project, from planning to installation to maintenance, including the cost of professional consultation if required. Support of any kind that is to be provided by the College must be approved, in advance, in consultation with the affected departments.
5. Many projects will be subject to review and comment by the Campus Design Committee, the Development Office, affected departments, the Vice President and Treasurer, the President of the College, or the Board of Trustees.
6. The method and content of donor recognition is subject to approval of the Development Office in consultation with the Facilities Department.
7. The College retains the right, subject to approval by the Trustees, to alter, relocate or remove any and all trees, plants or landscape objects as the future needs of the College may dictate.
8. Human remains may not be buried or interred on any College-owned land.

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*December 14, 1989 by the Board of Trustees of Carleton College*

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For [Alumni](#), [Faculty](#), [Families](#), [General Public](#), [Staff](#), [Students](#)

**Last Reviewed: Jan 4th, 2022**

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Maintained by Development

## **Cowling Arboretum**

## Visiting the Arboretum

The Cowling Arboretum is open to public use year round. Visitors to the Arboretum are welcome, both from the Carleton community and beyond. To maintain the Arboretum for all, please follow these rules:

1. Bikes are allowed only on specifically designated trails in the Upper Arboretum (east of Hwy 19); no bike use is allowed in the Lower Arboretum (west of Hwy 19). Limiting biking is necessary to prevent erosion, especially on trails in lower lying areas where the ground is too soft to support tires. Bikes are restricted from the Lower Arboretum because of ongoing studies by Carleton faculty and students and to avoid bike/pedestrian conflicts. Bikes are not allowed anywhere in the Arb while the trails are being groomed for skiing.
2. No motorized vehicles are allowed, except for maintenance or emergency.
3. Because of the lack of sanitary facilities, the Arboretum is not open for camping.
4. Fires are not permitted in the Arboretum. Specifically designated fire rings are available on campus at the Hill of Three Oaks, the Council Ring, and Mai-Fete Island.
5. Dogs are welcome if on a hand-held leash, not to exceed 6 feet in length; all dog droppings must be removed.
6. Horses are not allowed anywhere in the Arboretum.
7. Drones are not permitted without express written permission (see below)
8. The Arboretum is a State Game Refuge, so there is no general hunting. [Archery hunting](#) is permitted by permit issued by Arboretum staff in order to control the deer population and reduce damage to trees and other vegetation.
9. Public use in the Lower Arboretum is restricted to the trails during the Archery Hunt between Thanksgiving and December 31st.

## Athletic Events

Organized athletic events, such as the running portion of a triathlon, require additional paperwork. Carleton student organizers should contact the Assistant Recreation Center Director for help with planning an event. Non-Carleton organizers of these events should contact the Campus Scheduling Coordinator in the Office of Campus Services.

## Geocaching and Letterboxing

Carleton welcomes geocaching and letterboxing both on campus and in the Arboretum. The following guidelines have been established to protect the natural features of the Arboretum, reduce user conflicts throughout College property, and provide a high quality experience for all visitors. Those searching for caches or letterboxes must follow campus and Arboretum visitor regulations. The following guidelines are in effect for anyone who wishes to place a cache or letterbox of any sort on College property.

1. Any placement of a cache or letterbox must receive prior approval from the Director of the Arboretum. You must provide the GPS coordinates (if a cache) as well as relative location to the nearest trail or building or features of the Arboretum (see campus and arboretum maps). Note that caches/letterboxes will not be permitted in areas with steep slopes, close to existing caches/letterboxes, where it may impact rare natural features or interfere with the College's athletic or other activities. Caches and letterboxes may not be placed in the vicinity of any

college residence (dormitories or college-owned houses). You must state your caching/letterboxing alias as well as your real name and contact information, provide details on the cache/letterbox container you plan to use, the associated caching/letterboxing organization/web site, and any other specific information about the cache/letterbox. Caching/letterboxing websites are monitored by College personnel and any caches placed without authorization will be removed and an appropriate action taken.

2. Due to the growing popularity of these activities, no person will be permitted to place more than four caches on College property in order to allow others the ability to do so.
3. Once a cache is approved, it may not be relocated more than a few feet without obtaining further permission from the Director of the Arboretum.
4. Cache/letterboxing containers and contents may not be buried or submerged, but can be hidden in dry surface vegetation within reach of walkers on the ground without climbing or impacting the natural habitat. You may not significantly re-arrange vegetation or dead vegetative material to hide the cache/letterbox.
5. Cache/letterboxing containers must be permanently labeled on the exterior to note that cache has been approved by Carleton College, the Arboretum phone number (507-222-4543) and the associated website/info source (e.g. "www.geocaching.com").
6. Caches must be monitored and maintained by the placer to insure accuracy, safety, and working condition of the cache.
7. Caches from organizations/websites that do not permit Carleton College to find and monitor a cache online will not be permitted (such as terracaching.com).
8. Please consider noting on your web listing that the cache was approved by Carleton College.
9. Carleton College accepts no responsibility or liability for any cache, and will not assist in the maintenance of a cache.

### **Group Use**

Group use of the Arboretum or McKnight Prairie is welcome, but groups of ten or more must register to avoid conflicts with other users and to protect natural resources. Class visits by K-12 or non-Carleton college age scholars, adult classes, athletic teams, recreational users, or scout troops are examples of group users who must register their visit. Group leaders should complete the group use registration form found on the [Arboretum website](#). Contact the Director of the Arboretum if you have questions about your group visit.

Commercial photographers must also register, regardless of your group size.

### **Research and Class Use Permits**

As an educational institution, Carleton College strongly encourages use of its lands for research, teaching, and student projects. To maintain natural areas for long-term use, it is necessary for projects to be carried out in ways that minimize disturbance. It is also important for Arboretum staff to know where ongoing research projects are located so that routine management activities (burning, mowing, clearing brush, etc.) do not impact study areas.

A permit is required for research projects (including class exercises) in the Arboretum or McKnight Prairie that include any of the following:

- flags or tags that will remain when the researcher is not present at the study site,

- collection of plants or plant parts, including seeds or tree cores,
- collection, trapping or tagging of animals, including invertebrates,
- introduction of living organisms,
- soil disturbance such as augering or digging soil pits.

## **Drones**

Drone use has the potential to disturb wildlife and create privacy and safety concerns in the Arboretum. Drone use is not permitted without express written permission from the Arboretum Director and in consultation with the Risk Management Office ([see Campus Policy on Drone Use](#)). For research projects, Individuals should use the “Research and Class Use Permit Application” form found on the [Arboretum Website](#). For other college purposes individuals should contact the Arboretum Director at X4543. Recreational use of drones is not permitted.

## **Weddings, Picnics, and Other Gatherings**

Several outdoor spaces in the Arboretum or adjacent to it such as the Council Ring, Hill of Three Oaks, or Monument Hill may be reserved for Carleton or non-Carleton group use such as picnics, family reunions, or weddings. Non-Carleton group reservations may not be made during the academic term. Reservations and paperwork are handled through the Office of Campus Services or may be found on the [Campus Scheduling website](#).

For additional questions or information about Cowling Arboretum, please see the [Arboretum website](#) or contact the Director of the Arboretum, [Nancy Braker](#), at 501-222-4543.

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Last revised April 17, 2013

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For [Alumni](#), [Faculty](#), [Families](#), [General Public](#), [New Students](#), [Prospective Students](#), [Staff](#), [Students](#)

**Last Reviewed: Aug 3rd, 2021**

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Maintained by The Cowling Arboretum

## **Drug-Free Workplace**

### **Introduction**

Following is a description of the Carleton College policy required by the Drug-Free Workplace Act of 1988, which went into effect on March 19, 1989. The College's failure to comply with the provisions in the Act could result in the termination, suspension or debarment of federal government funds or contracts including campus-based student aid funds to which the College may otherwise be entitled. It is important to note that not only are illegal drugs unlawful, but also that legal drugs can be manufactured, dispensed, etc. unlawfully.

### **Policy Requirements**

The College has the obligation to maintain a drug-free workplace to insure that employees perform their jobs safely, efficiently, and in a businesslike manner.

## **Conditions**

The unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance on college property or while conducting college business away from the campus by college employees is absolutely prohibited. Employees are expected and required to report for work or work related activities on time and in appropriate mental and physical condition to carry out their assigned duties. Any impairment due to alcohol or drug use, however slight, is unacceptable.

Employees should also report to Human Resources any medically prescribed treatment involving prescription drugs that may affect their ability to perform on the job.

As a condition of employment, Carleton employees must abide by the terms of this policy and must notify the College if convicted under any criminal drug statute for a violation occurring in the workplace not later than five days after such conviction. The College in turn must notify the federal funding agency within ten days of receiving such a notice.

## **Definitions**

### **EMPLOYEES:**

This prohibition covers all employees, including part-time and students. The Drug-Free Workplace Act of 1988 literally applies only to those employees directly engaged in performing work under the provisions of a government grant or contract; however, because it is difficult to segregate work performed under a grant or contract from other institutional work, the College has elected to include all employees under this policy as have most institutions.

### **WORKPLACE:**

The workplace is any site on or off campus where the work of the College is being performed.

### **CONTROLLED SUBSTANCES:**

Controlled substances are drugs whose distribution is controlled by Federal or State regulation or statute--the worst street variety to mild prescriptions, including, but not limited to, narcotics, marijuana, hallucinogens, depressants, and stimulants, but not alcohol or tobacco products.

## **Consequence of Violations**

Employees found in violation by the College of the prohibitions set forth under "Conditions" or employees who receive a criminal drug statute conviction for a violation occurring in the workplace will be subject to disciplinary action by the College, up to and including termination, OR will be required to participate in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency.

## **Drug-Free Awareness Program**

Human Resources is responsible for a drug-free awareness program to inform employees about the dangers of drug abuse and the Drug-Free Workplace Policy. Some drug counseling and drug rehabilitation programs are covered by the College's health insurance for participating employees, and all employees except students have access to Carleton's Employee Assistance Program.

## **Labor Agreement**

The Drug-Free Workplace Policy is intended to be consistent with applicable collective bargaining agreements at the College. If differences arise, the Labor Agreement will take precedence.

See [Unlawful Use of Drugs and Alcohol policy](#) for further information.

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For [Faculty](#), [Staff](#), [Students](#)

**Last Reviewed: May 28th, 2021**

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Maintained by Human Resources

## Faculty Entertaining Students Program

Academic departmental budgets receive a special annual allocation to subsidize and encourage faculty-student interaction **outside the classroom** (such as in homes or other appropriate gathering places). These funds are intended to encourage faculty members and departments to think creatively about ways to engage with students outside the classroom in meaningful ways.

Departmental budgets are allocated \$80 per term per faculty member in expense code 5997; the department may choose to commingle these funds/events in whatever way creates the most meaningful event(s) for their student/faculty interactions. If a department exceeds the funds available in account 5997, the overages will be charged against other departmental funds at the end of the fiscal year.

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Last revised June 23, 2014

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For [Faculty](#)

**Last Reviewed: Jan 7th, 2022**

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Maintained by Dean of the College Office

## Faculty Expectations Regarding Time on Campus and Participation in Campus Events

Given the complexity of faculty lives and the variety of faculty work, clearly articulating faculty values is important and should be helpful to new and experienced faculty alike.

### Class Meetings and Off-Campus Engagements

The Faculty Handbook includes a specific policy about off-campus engagements and the extent to which they can impinge on class meetings. Because this is not as well known as it should be, we repeat it here.

Faculty members may undertake off-campus engagements at their discretion provided these do not involve 1) more than three days in a month; or 2) missing more than one class meeting per course per term for reasons unconnected with illness. Off-campus activities at a level above 1) or 2) require approval of the department chair and the dean of the college. Such activities will be permitted if they can be performed without compromising the faculty member's on-campus responsibilities.

### Important Community Events

There are a few annual events where faculty attendance is important. Except when faculty are on leave or when there are compelling personal or professional reasons for not attending, participating in the following events should be understood as part of a faculty member's responsibilities.

- Faculty retreat

- Opening convocation
- Honors convocation
- Graduation activities, including parent reception and commencement

In addition, given the importance of shared governance at Carleton, faculty attendance is expected at the monthly faculty meetings.

### **General presence on campus**

The expectation is that full-time faculty not on sabbatical will typically be on campus a minimum of four days per week when classes are in session. Some faculty find that setting aside one research day per week away from campus works well. Still, faculty who choose that approach should be flexible enough to respond to scheduling difficulties and other occasional responsibilities that come up requiring their presence on campus. For example, it may be very hard to schedule department meetings or other events if everyone in a department tries to maintain an unalterable research day.

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*-- endorsed by the Faculty 2/14/11*

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Last revised February 14, 2011

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For [Faculty](#)

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**Last Reviewed: Jan 7th, 2022**

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Maintained by Dean of the College Office

## **Food Sales and Distribution**

The Minnesota Department of Health provides specific guidance for food safety. Carleton College expects all campus vendors, students and staff to follow the MDH guidance to ensure the safety of food served or sold on campus. Please reference <https://www.mda.state.mn.us/food-feed/cottage-food-producer-registration> for specific guidance and/or consult the guidelines from the University of Minnesota Extension Cooking Safely for a Crowd: <https://extension.umn.edu/food-safety/food-entrepreneurs>

Bon Appetite, our Dining Services partner, is the only food provider with a food license on record with Carleton College.

The college does not monitor other outside food service vendors contracted by individual departments to serve food at campus events.

Food prepared and served or sold on campus by individuals should be consumed with an understanding that products are homemade and not subject to state inspection. When selling items at a bake sale, the seller is responsible for **a sign or placard stating "These products are homemade and not subject to state inspection" posted** at the sale. Label food with your name and address, the date produced, and the ingredients, including potential allergens.

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Last revised August 13, 2018

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For [Faculty](#), [Staff](#), [Students](#)

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**Last Reviewed: Feb 19th, 2021**

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Maintained by Business Office

## Freedom of Expression

Support of any cause by demonstration or other orderly means, including picketing and other forms of peaceful protest, is permitted on College premises so long as it does not disrupt the operation of the College, jeopardize its legal status, interfere with entrances to and exits from College facilities, interrupt classes, interfere with other normal day-to-day activities of the College, or cause damage to property. The College may call upon local law enforcement bodies to remedy violations covered by this paragraph. In addition, the College may choose to impose its own disciplinary sanctions.

Discussion and expression of all views relevant to the subject matter are permitted in the classroom, subject only to the responsibility of the instructor to conduct his or her course. It is expected that he or she will exercise that responsibility with reason and restraint and within the confines of academic freedom for students and faculty alike. See the Statement on Discrimination and Academic Freedom for further discussion of the College's position on these issues.

Students, groups, and campus organizations may invite and hear any person of their own choosing, subject only to the requirements for the use of College facilities.

No individual or group may prevent or attempt to prevent a student from interviewing on campus with any graduate or professional school or other legal employer desiring to recruit at the College.

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*Adopted by the Board of Trustees June 17, 1993, upon recommendation of the College Council.*

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For [Faculty](#), [Staff](#), [Students](#)

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**Last Reviewed: Oct 4th, 2021**

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Maintained by Office of the President

## Gifts on Behalf of the College

Gifts on behalf of the College to individuals are appropriate in a limited number of circumstances. Carleton College seeks to recognize individuals in an equitable manner with respect to use of College funds while complying with relevant federal guidelines.



Please notify College Communications of deaths in an employee's immediate family including details such as the name and address of the employee, memorial service or funeral arrangements and date of death. The College Communications staff appreciates your contact since your notification is the only means they have of learning of a death of a family member.

A plant or floral arrangement is sent by College Communications to a memorial service, funeral, or to the home of an employee upon notification of the death of an employee, Carleton retiree, or the death of an employee's spouse, child, or parent. This policy does not cover the loss of an employee's siblings or in-laws.

There are many other occasions, such as promotions or hospital stays, which are suitable for giving flowers or gifts. These occasions occur frequently and the expense to the College of contributing to all of these requests would be large. Therefore, flowers and gifts for events other than those listed in the paragraph above should be considered a personal expense for those in a department who wish to contribute.

**Gift Certificates and Gift Cards no matter how small their value are considered income by the IRS, and should be avoided.**

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Last revised April 9, 2020

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For [Faculty](#), [Staff](#)

**Last Reviewed: May 2nd, 2021**

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Maintained by College Communications

## HIV Infection

It is the policy of Carleton College, to the extent of its control and ability, to facilitate the prevention of HIV infection and the mitigation of its consequences to both infected and non-infected persons.

The College also recognizes that persons with HIV infection are often further afflicted with a public ignorance, fear, and stigma that does not attend to other, more contagious, diseases. Therefore, the College:

1. does not require HIV testing as a condition of admission or employment,
2. does not restrict the activities of those known to have HIV infection,
3. does not tolerate discrimination against or harassment of those with HIV infection,
4. considers those with HIV infection as included under the College's general policies with respect to disability, and
5. treats knowledge of HIV infection cases on campus with confidentiality.

This policy applies to all those employed by or enrolled in the College and is subject to laws in effect from time to time.

## Response and Procedures

### PREVENTION

Faculty, staff, and students share the responsibility to prevent the spread of HIV infection. The primary response to HIV infection must be education. This includes both those with the disease and

those not afflicted with the disease. Education about HIV infection is not only central to prevention but also to creating a proper campus atmosphere free from discrimination and unwarranted fear. Human Resources, Health Service, the Office of the Dean of Students, and the Office of the Chaplain will assist in providing information regarding HIV infection to all members of the community and developing a plan for general education, identification of risk, and intervention. The Director of College Health has a particular opportunity to counsel and inform the College community on how to minimize the risk of spreading infection.

Current medical experience indicates that students and employees in the normal academic setting of classrooms, residence halls, student unions, gymnasiums, swimming pools, and other recreational facilities, and other common areas, do not face a significant risk from those with HIV infection. Therefore, the College will not restrict the normal activities of those with HIV infection. If in the judgment of the Director of College Health, however, a person with HIV infection is engaged in an activity that poses a significant risk to either the infected person or another member of the community, the Director will take appropriate action. If the College becomes aware of activity that poses a significant risk of exposure, the College also reserves the right, following appropriate medical consultation, to take whatever actions are, in its judgment, necessary or appropriate to protect either the infected person or another member of the community from exposure to infection. Both the College and the Director will act in accordance with current legal and ethical principles.

It is the responsibility of departmental managers, coaches, and laboratory supervisors, first, to ensure that employees or students engaged in activities under their supervision that might render people susceptible to the transmission of HIV have access to information concerning the nature of HIV transmission and how it relates to their specific jobs or activities and, second, to monitor their employees and students concerning use of any proper, established procedures for those jobs or activities.

### **SUPPORT SERVICES**

The College has support services through which concerned persons can receive counseling, assistance in locating and using social services, and referrals for further assistance, such as Health Service, Counseling Services, the Employee Assistance Program, Office of the Chaplain, etc.

### **DISCRIMINATION**

HIV infection is considered a disability under federal civil rights laws. This includes protection from harassment and provision of reasonable accommodation for education and employment. Refer to either the Student, Faculty, or Staff Handbook for the Statement of Non-Discrimination and the Statement on Discrimination and Academic Freedom.

### **CONFIDENTIALITY**

All information regarding HIV infection of students or employees will be considered confidential. Except as required by law, necessary to administer College benefit programs, or otherwise fulfill the legitimate obligations of the College, this information will be given out only to parties authorized by the specific, written permission of the HIV-infected employee or student. The duty of physicians and other health care providers to maintain the confidentiality of information may be superseded by their legal requirement to others in certain specific circumstances.

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*Adopted by the Board of Trustees on April 18, 1991.*

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Last revised April 18, 1991

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For [Alumni](#), [Faculty](#), [Families](#), [General Public](#), [New Students](#), [Prospective Students](#), [Staff](#), [Students](#)

**Last Reviewed: Sep 22nd, 2015**

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Maintained by Human Resources

## Observance of Religious Holidays

Periodically major religious holidays intersect with key dates in Carleton's calendar (e.g., overlap of the first day of classes with Rosh Hashanah; confluence of Ramadan with finals), and there will be members of our community who will choose to observe these holidays. It is expected that students who will be engaging in these observances will inform the relevant faculty and staff in advance, in order to address any need to make up work or arrange other accommodations. Faculty and staff engaging in these observances should inform their department/supervisor in advance and follow the applicable time off request process. Staff should record work time missed as floating holiday or vacation time.

Questions about these practices may be directed to: Dean of the College Office (faculty), x4300

Dean of Students Office (students), x4075

Human Resources (staff), x7471

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Last revised August 1, 2018

For [Faculty](#), [New Students](#), [Prospective Students](#), [Staff](#), [Students](#)

**Last Reviewed: Oct 4th, 2021**

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Maintained by Office of the President

## Ombuds Office

The Ombuds office offers an impartial, objective alternative for resolution of work-related concerns. The Ombudsperson will not advocate or represent any person or position. Rather, the Ombuds will support a fair process and adhere to the value of fair treatment, respect and civility.

More information on the Ombuds office can be found at: <http://apps.carleton.edu/campus/ombuds/>

For [Faculty](#), [Staff](#)

**Last Reviewed: Jan 18th, 2021**

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Maintained by Human Resources

## Parking Regulations

**Campus Services** oversees Faculty/Staff vehicle registration and permit distribution. **Security Services** enforces all motor vehicle policies and regulations for Carleton College. Faculty and staff should be familiar with the following policies and regulations.

### 1. Registration

- All faculty and staff motor vehicles to be parked on campus must be registered with

Campus Services.

- Motor vehicle registration is for two years, from September 1 through August 31.
- The registration process is not complete until the parking permit is properly displayed on the vehicle being registered.
- Security Services should be notified whenever a registered vehicle is traded or sold. Please email [onecard@carleton.edu](mailto:onecard@carleton.edu) with vehicle color, year, make, model, license plate and state.
- Lost or stolen permits must be reported to Security Services immediately. Please email [onecard@carleton.edu](mailto:onecard@carleton.edu).
- Possession of a parking permit does **NOT** guarantee a parking space on campus.

## 2. Parking Permits

- Faculty/Staff parking permits will be issued by **Campus Services** and mailed via campus mail.
- Hang tag permits must be displayed from the rear view mirror of the registered vehicle.
- State issued handicapped permits or license plates will be honored.
- Individuals with a temporary handicap which limits mobility may apply for a temporary handicap permit through their physician and the MN Department of Motor Vehicle.
- Failure to properly display a valid permit may result in ticketing and will not be considered a valid excuse for dismissal of a parking fine.

## 3. Enforcement & Penalty

- Carleton College reserves the right to ticket and/or tow any vehicle at owner's expense in violation of parking regulations.
- All campus parking and traffic regulations are enforced on a 24-hour basis with the exception of permit regulations. Permit enforcement shall be in effect Monday through Friday from 7:00 A.M. to 5:00 P.M.
- Any vehicle on which three (3) outstanding parking citations have been issued and not appealed or paid by the due date may be towed at the owner's expense each time it is parked against regulations on College property.
- Drivers of towed vehicles should contact Security Services to facilitate release of the vehicle.
- Persistent violators may have their parking privileges revoked for up to one (1) year.
- The fact that a person parks in violation of any law, ordinance or regulation and does not receive a citation, does not mean that the law, ordinance or regulation is no longer in effect.

## 4. Violations, Fines & Payments

The following are parking violations:

- Failure to display a valid permit.
- Parked over time limit.
- Use of stolen/fraudulent/lost/altered parking permit.
- Parked where prohibited.

- Parked in visitor stall.
- Parked on sidewalk, lawn or boulevard.
- Parked along yellow curb.
- Parked in traffic lane, double parked, parked in or obstructing driveway.
- Parked over or outside stall lines.
- Parked within ten (10) feet of a hydrant.
- Parked in a fire lane.
- Parked in or obstructing a posted handicapped stall (MSA 169.346).

The speed limit on campus is 15 miles per hour.

The following fines will be assessed:

- \$100 for being parked in or obstructing a posted handicapped stall.
- \$25 for being parked in a fire lane or within ten (10) feet of a hydrant.
- \$25 for the use of stolen, fraudulent, lost or altered parking permit.
- \$25 for any vehicle immobilized, plus applicable fine.
- \$15 for all other parking violations.

Parking citations shall be paid in person or mail to the Business Office within ten (10) working days after receipt of the violation.

Failure to pay a fine or appeal within ten (10) working days, will result in the fine being doubled.

## 5. Appeals

- A parking citation may be appealed to the Director of Security within ten (10) days after receipt of the citation. Late appeals will not be accepted.
- A correctly filled out and issued parking citation is considered to be prima facie evidence that a violation has occurred. Therefore, an appeal must be based on the fact that the citation was issued contrary to Carleton College Parking Regulations.
- Lack of space shall NOT be considered a valid excuse for violation of established parking regulations.
- The decision of the Director of Security shall be final.

## 6. Neighborhood Parking

Out of respect for Northfield residents who live near the College, please avoid parking your vehicle on the city streets in the neighborhood adjacent to campus whenever possible.

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Last revised June 26, 2019

For [Faculty](#), [Staff](#)

**Last Reviewed: Jun 26th, 2019**

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Maintained by Security

# Policy Against Sexual Misconduct

## I. Statement of Philosophy

Carleton College is committed to:

- Fostering a safe environment, free of sexual misconduct in any form. We expect community members to engage in relationships and sexual interactions that are characterized by consent. Individuals who engage in behaviors that violate Carleton's Policy Against Sexual Misconduct are held responsible for their actions.
- Responding to reports of sexual misconduct through established procedures that are comprehensive in scope, supportive in approach, and fair in execution. Support will be provided before, during, and after any resolution process, recognizing that for all parties affected by an instance of sexual misconduct—alleged or proven—the experience is emotionally, socially, and intellectually demanding. Retaliation against any person participating in the investigation or adjudication of a report of sexual misconduct is strictly prohibited.
- Taking seriously the fact that the best process to address sexual misconduct should begin before any sexual misconduct has occurred, with prevention through education, and should conclude with intentional measures to work towards healing individuals and community.

In accordance with Title IX of the Educational Amendments Act of 1972 and its implementing regulations, Carleton prohibits discrimination on the basis of sex, including Sexual Harassment (as defined below), in its education programs or activities. This prohibition on sex discrimination includes, but is not limited to, admission and employment.

## II. Title IX Coordinator

Carleton has designated Laura Riehle-Merrill to serve as its Title IX Coordinator. Their contact information is:

Laura Riehle-Merrill

Title IX Coordinator

Henry House 206

(507) 222 4028

lriehlem@carleton.edu

Carleton has designated Heidi Jaynes to serve as Title IX Deputy for Faculty and Staff. Their contact information is:

Heidi Jaynes

Title IX Deputy/Faculty and Staff

Recreation Center 229

(507) 222 4447

hjaynes@carleton.edu

Inquiries about the application of Title IX and its implementing regulations may be referred to these individuals. These individuals may also act through a designee. Inquiries about Title IX and its implementing regulations may also be referred to:

U.S. Department of Education

Office for Civil Rights

Lyndon Baines Johnson Department of Education Bldg.

400 Maryland Ave, SW

Washington, DC 20202-1100

(800) 421 3481

OCR@ed.gov

### III. Definitions

Specific terms used in this Policy have the following meanings:

“*Advisor*” means a person selected by the Complainant or Respondent, or appointed by Carleton, who may be present during the Formal Complaint Resolution Process and meetings related thereto. An Advisor selected by the Complainant or Respondent may be an attorney.

“*Appellate Officer*” means the individual designated by Carleton to decide Appeals in accordance with Section VI.I, below.

“*Complainant*” means an individual who is alleged to be the victim of conduct that could constitute Sexual Harassment.

“*Confidential Campus Resources*” means all employees of Carleton’s Student Health and Counseling Center and clergy who serve as College Chaplains. Individuals involved in sexual misconduct matters may seek confidential support from these resources, who will maintain complete confidentiality of all information shared with them. Confidential Campus Resources have a responsibility to report non-personally identifiable information about sexual misconduct for the purpose of statistical reporting, as required by law.

“*Consent*” means the mutual understanding of words or actions freely and actively given by two informed people that a reasonable person would interpret as a willingness to participate in mutually agreed upon sexual activity.

- Consent is not effective when force, threat, or coercion is used.
- Consent is not effective if the recipient party is incapacitated, asleep, or unconscious.
- Silence or non-communication should never be interpreted as effective consent.
- Consent to one type of sexual activity does not imply consent to other types of sexual activity.
- Past consent is not future consent.
- Consent can be withdrawn at any time.

“*Decision-Maker*” means a member of the panel designated by Carleton that hears and reaches a

determination regarding a Formal Complaint alleging Sexual Harassment in accordance with the procedures outlined in Section VI, below. One of the Decision-Makers in any hearing shall be the Hearing Officer.

*“Formal Complaint”* means a document filed by a Complainant or signed by the Title IX Coordinator alleging Sexual Harassment against a Respondent and requesting investigation of the allegations.

*“Formal Complaint Resolution Process”* is the process outlined in Section VI, below.

*“Hearing Officer”* means the individual designated by Carleton who is responsible for managing the conduct of a hearing on a Formal Complaint of Sexual Harassment in accordance with the procedures outlined in Section VI, below. The Hearing Officer is also a Decision-Maker.

*“Incapacitation”* means the physical and/or mental inability to make informed, rational judgments. A person is incapacitated if they lack the necessary judgment to give consent to sexual activity. For example, a person may be incapacitated when asleep or under the influence of alcohol or drugs to an extent that the person is not capable of making a knowing decision. Knowledge of incapacity is evaluated based on a reasonable person standard. Accordingly, if a person has sexual contact with someone whom that person knows to be, or whom a reasonable person would know to be, incapable of making a rational, reasonable decision, that contact is without consent. Being intoxicated or under the influence of any substance at the time of sexual contact is never an excuse for violating this Policy.

*“Informal Resolution”* means the process outlined herein for resolving a Formal Complaint with the voluntary written consent of both the Complainant and Respondent and consistent with the other conditions and procedures set out in Section VI, below.

*“Investigative Report”* is a written report prepared by the Investigator that fairly summarizes relevant evidence gathered in an investigation and relating to a Formal Complaint.

*“Investigator”* means the individual designated by Carleton to gather information in response to a Formal Complaint.

*“Respondent”* means an individual who has been alleged to be the perpetrator of conduct that could constitute Sexual Harassment.

*“Sexual Harassment”* is conduct on the basis of sex that satisfies one or more of the following:

1. An employee of Carleton conditioning the provision of an aid, benefit, or service on an individual’s participation in unwelcome sexual conduct;
2. Unwelcome conduct determined by a reasonable person to be so severe, pervasive, and objectively offensive that it effectively denies a person equal access to education programs or activities;
3. Sexual assault, meaning an offense classified as a forcible or nonforcible sex offense under the uniform crime reporting system of the Federal Bureau of Investigation which include:
  - a. Fondling - The touching of the private body parts of another person for the purpose of sexual gratification, without the consent of the victim, including instances where the victim is incapable of giving consent because of their age or because of their temporary or permanent mental or physical incapacity.
  - b. Incest - Non-forcible sexual intercourse between persons who are related to each other



within the degrees wherein marriage is prohibited by law.

- c. Rape - The carnal knowledge of a person, without the consent of the victim, including instances where the victim is incapable of giving consent because of their age or because of their temporary or permanent mental or physical incapacity.
  - d. Sexual Assault with an Object - To use an object or instrument to unlawfully penetrate, however slightly, the genital or anal opening of the body of another person, without the consent of the victim, including instances where the victim is incapable of giving consent because of their age or because of their temporary or permanent mental or physical incapacity. An “object” or “instrument” is anything used by the offender other than the offender’s genitalia, e.g., a finger, bottle, stick.
  - e. Sodomy - Oral or anal sexual intercourse with another person, without the consent of the victim, including instances where the victim is incapable of giving consent because of their age or because of their temporary or permanent mental or physical incapacity.
  - f. Statutory Rape - Non-forcible sexual intercourse with a person who is under the statutory age of consent
4. Dating violence, meaning violence (including but not limited to physical, emotional, or psychological behaviors) committed by a person: (A) who is or has been in a social relationship of a romantic or intimate nature with the victim; and (B) where the existence of such a relationship shall be determined based on (i) the length of the relationship; (ii) the type of relationship; (iii) the frequency of interaction between the persons involved in the relationship;
  5. Domestic violence, meaning felony or misdemeanor crimes of violence committed by a current or former spouse or intimate partner of the victim, by a person with whom the victim shares a child in common, by a person who is cohabitating with or has cohabitated with the victim as a spouse or intimate partner, by a person similarly situated to a spouse of the victim under the domestic or family violence laws of the State of Minnesota, or by any other person against an adult or youth victim who is protected from that person’s acts under the domestic or family violence laws of the State of Minnesota; or
  6. Stalking, meaning engaging in a course of conduct directed at a specific person that would cause a reasonable person to (A) fear for their safety or the safety of others; or (B) suffer substantial emotional distress.

“*SMS Advisor*” means a Sexual Misconduct Support Advisor, selected from a pool of Carleton staff who have volunteered to serve as advisors to students and have received training on this Policy and the Formal Complaint Resolution Process.

“*Supportive Measures*” means non-disciplinary, non-punitive, individualized services designed to restore or preserve equal access to educational programs or activities. Supportive Measures may be offered to a Complainant or Respondent before or after the filing of a Formal Complaint or where no Formal Complaint has been filed. Supportive Measures may include, but are not limited to:

- Counseling
- Coursework adjustments
- Modifications of schedules
- Campus escort services

- Mutual restrictions on contact
- Changes in work or housing locations
- Leaves of absence
- Increased security or monitoring
- Information regarding health care and mental health care
- Information regarding advocacy services and legal assistance

Supportive Measures provided to a Complainant or Respondent will be kept confidential to the extent feasible.

“*Title IX Coordinator*” means the individual identified in Section II, above.

## **IV. Jurisdiction**

This Policy applies to all Carleton faculty, staff, students, and visitors. Sexual misconduct can be committed by a person of any gender against a person of any gender. Sexual misconduct can be committed by friends, current or former intimate partners, acquaintances, or non-acquaintances. The Policy applies in connection with any Carleton program, whether on or off campus, including academic, educational, extra-curricular, athletic, residential, employment (including work-study), and other College activities and programs.

The Title IX Coordinator is responsible for determining whether matters fall under the jurisdiction of this Policy and may consult with others, as appropriate, in making such a determination. Where misconduct is alleged to have been committed by a staff or faculty member, in particular, the Title IX Coordinator may consult with the Title IX Deputy for Faculty and Staff.

Alleged conduct that does not fall within the scope of this Policy may be addressed under other applicable policies, including but not limited to those set forth in Section IX, below. This may include (but is not limited to) misconduct of a sexual nature that does not meet the definitions of Sexual Harassment set forth in this Policy.

## **V. Reporting**

Carleton is committed to creating a community free of sexual misconduct, to providing avenues for those affected by sexual misconduct to obtain assistance, and to providing clear and fair complaint and investigation procedures.

Carleton encourages individuals who have experienced any form of sexual misconduct to make a prompt report to the College. Any person—regardless of whether the person reporting is the person alleged to be the victim—may report such concerns to the Title IX Coordinator or, in cases involving faculty or staff, to the Title IX Deputy for Faculty and Staff. Reports may be made in person, by mail, by telephone, by email, or by Community Concern Form. Reports may be made at any time.

Students who wish to seek support after an incident of sexual misconduct, want to discuss options for addressing an incident of sexual misconduct, are considering filing a Formal Complaint, or have any questions about the Formal Complaint Resolution Process, should contact the Title IX Coordinator or a Confidential Campus Resource who can also provide information regarding available Supportive Measures and other services. More information can be found [here](#).

## **External Reporting**

When sexual misconduct occurs at Carleton, the standards of the community are violated. Depending on the type of misconduct, state and federal law may also be violated by conduct that violates College policy. Carleton also encourages individuals who have experienced criminal sexual misconduct to pursue criminal charges. State law definitions of consent, sexual assault, domestic violence, dating violence, and stalking can be found [here](#).

The College can provide information about available options, including information about Carleton's procedures or pursuing criminal charges. The College will advise individuals that filing a sexual misconduct report is not a substitute for legal action. An individual may be assisted by College authorities in notifying law enforcement or obtaining a legal no-contact order if the individual chooses. The College also recognizes the right of individuals to decline to notify law enforcement authorities.

Carleton will also provide all parties complete and prompt assistance, at the direction of law enforcement authorities, in obtaining, securing, and maintaining evidence in connection with a sexual misconduct incident. The College will also provide all parties assistance in preserving materials relevant to campus disciplinary proceedings.

Reporting an incident of sexual misconduct under Carleton policy is independent of any criminal investigation or proceeding and, except in cases where the College determines that a delay is necessary, the College may not wait for the conclusion of any criminal proceedings to respond to a report and take needed interim or resolution measures. Making a report to law enforcement is not necessary for the College to proceed with a resolution.

## **Required Reporting**

### *Faculty and Staff*

- All faculty and staff, other than Confidential Campus Resources, who learn of possible violations of this Policy are required to report that information either directly or through a Community Concern Form to the Title IX Coordinator or the Title IX Deputy for Faculty and Staff.
- While reporting is an obligation for all faculty and staff other than Confidential Campus Resources, in responding to a report, the College will be guided by the goal of empowering the self-determination of the individual who may have been subject to the misconduct and allowing that individual to retain as much control over the process as possible. However, no employee (other than Confidential Campus Resources) can or should promise absolute confidentiality.

### *Students*

- Resident assistants are required to report incidents of possible sexual misconduct through a Community Concern Form when relevant information comes to their attention through their work as resident assistants. Resident assistants are required to include the names of involved students.
- Peer leaders other than resident assistants are required to report incidents of possible sexual misconduct through a Community Concern Form but may choose to omit the names of involved students. Peer leaders may choose to share more information, including names, to

help affected students receive appropriate support and attention.

- Other students do not have an obligation to report sexual misconduct but are encouraged to consider sharing information about sexual misconduct with the Title IX Coordinator to help affected students receive appropriate support and attention.

### **Limited Immunity for Alcohol and Drug Violations**

The College seeks to remove barriers to reporting incidents of sexual misconduct. An individual who has been drinking or using drugs at the time of an incident of sexual misconduct may be hesitant to make a report or participate in an investigation because of potential consequences for their own conduct. No student who, in good faith, reports an incident of sexual misconduct or participates in an investigation of sexual misconduct will be subject to disciplinary action for their own personal consumption of alcohol or other drugs related to that incident. The College may recommend educational intervention, assessment, or counseling for alcohol or other drug use when appropriate.

### **Response to a Report**

The College will treat all parties connected with a sexual misconduct report with dignity. The College will not suggest that a Complainant is at fault or should have done something differently to avoid an incident.

In response to a report, the Title IX Coordinator will promptly contact the Complainant to discuss the availability of Supportive Measures (with or without the filing of a Formal Complaint), consider the Complainant's wishes with respect to Supportive Measures, and explain the process for filing a Formal Complaint. Fair and responsible Supportive Measures will be available to all parties.

If the Complainant chooses not to file a Formal Complaint, the Title IX Coordinator may choose to do so. In some circumstances, the College may acquire information about a potential violation of this Policy through a Community Concern Form or other source that identifies a potential Respondent but does not identify the person (or persons) who was subject to the conduct. In this or another appropriate situation, the Title IX Coordinator may choose to file a Formal Complaint.

If the Complainant or the Title IX Coordinator chooses to file a Formal Complaint, such Formal Complaint will be handled in accordance with the following Formal Complaint Resolution Process.

## **VI. Formal Complaint Resolution Process**

Carleton's response to a Formal Complaint of Sexual Harassment will treat Complainants and Respondents equitably and provide a process in which the Title IX Coordinator, Investigator, Decision-Makers, Hearing Officer, Appellate Officer, and any facilitator of an Informal Resolution are free from conflicts of interest or bias against the Complainant or Respondent (or against complainants or respondents generally).

These individuals will receive training on the definition of Sexual Harassment, the scope of Title IX, and how to serve impartially including by avoiding prejudgment of the facts at issue, conflicts of interest, and bias. These individuals will also receive training regarding their specific roles in the process.

Carleton will strive to complete the Formal Complaint Resolution Process within 90 days of the filing of a Formal Complaint. The Title IX Coordinator may allow for the temporary delay of all or part of

the Formal Complaint Resolution Process for good cause and will provide written notice to the Complainant and Respondent of the delay and the reasons therefor.

### **Presumption**

The Respondent in a Formal Complaint is presumed not responsible for the alleged conduct until a determination is made regarding responsibility at the conclusion of the Formal Complaint Resolution Process.

### **Written Notice**

Within a reasonable period following receipt of a Formal Complaint, Carleton will provide written notice to known parties:

- Of this Formal Complaint Resolution Process
- Of the allegations potentially constituting Sexual Harassment, including details then-known regarding:
  - the identities of the parties involved in the incident
  - the conduct allegedly constituting Sexual Harassment
  - the date and location of the alleged incident(s)
- That the Respondent is presumed not responsible
- That a determination regarding responsibility is made at the conclusion of the Formal Complaint Resolution Process
- Of their right to an Advisor
- Of their ability to inspect and review evidence in connection with the Formal Complaint
- Of their obligation to promptly notify the Title IX Coordinator if, at any time, they believe the Title IX Coordinator, Investigator, Hearing Officer, facilitator of any Informal Resolution, Decision-Maker, or Appellate Officer has a conflict of interest or bias
- Of any other provision in a policy or code of conduct (student, faculty, or staff) that may be implicated by the allegations in the Formal Complaint
- Of any Informal Resolution process

If, during the course of an investigation, Carleton decides to investigate allegations about the Complainant or Respondent that were not included in a previous written notice, it will provide notice of the additional allegations to known parties.

### **Grounds for Dismissal**

If, at any time subsequent to the filing of a Formal Complaint, Carleton determines that the conduct alleged, even if proved, would not constitute Sexual Harassment or does not otherwise fall under the jurisdiction of this policy, Carleton will dismiss the Formal Complaint with regard to that conduct. Such a dismissal does not preclude disciplinary action under other Carleton policies.

If, at any time subsequent to the filing of a Formal Complaint, (1) Carleton is notified by the Complainant that they wish to withdraw the Formal Complaint or any allegations therein; (2) the Respondent is no longer enrolled or employed; or (3) specific circumstances prevent Carleton from gathering evidence sufficient to reach a determination; then Carleton may, in its discretion, dismiss

the Formal Complaint or a portion thereof.

In the event of the dismissal of a Formal Complaint (or a portion thereof) under this section, Carleton will promptly notify the Complainant and Respondent in writing.

### **Informal Resolution**

A Formal Complaint that does not involve allegations of an employee engaging in Sexual Harassment of a student may be resolved by Informal Resolution. Informal Resolution may occur any time between the filing of a Formal Complaint and a determination of responsibility.

Prior to any Informal Resolution, both the Complainant and Respondent will be given written notice of: (1) the allegations; (2) the circumstances under which Informal Resolution precludes them from resuming the Formal Complaint Resolution Process, such as voluntarily agreeing to resolution of the Formal Complaint through Informal Resolution; (3) their right to withdraw from the Informal Resolution process and resume the Formal Complaint Resolution Process at any time prior to agreeing to a resolution; and (4) that the Informal Resolution process could result in an agreed-upon sanction, including but not limited to those set forth in Section VI.G.3, below, which may appear in certain records pertaining to that individual.

Carleton will facilitate an Informal Resolution only after the Complainant and Respondent have received such written notice and provided voluntary, written consent to participate in Informal Resolution. Carleton will strive to complete any Informal Resolution within 10 days of receiving such consent. Informal Resolution will involve the parties working together with Carleton personnel to attempt to reach a mediated resolution. More information regarding the mediated resolution process will be provided to parties in the written notice described in this subsection.

### **Investigation**

Following the filing of a Formal Complaint, the Title IX Coordinator shall designate an Investigator for the matter. The Investigator will conduct a prompt, thorough, and impartial investigation and prepare a written Investigative Report. The Investigator will typically meet individually with the Complainant and Respondent at least once during an investigation. The Complainant and Respondent will receive written notice of the date, time, location, and individuals who will be present for any investigative interview or meeting and will be given sufficient time to prepare. The Complainant and Respondent may be accompanied by one Advisor at any investigative interview or meeting.

The Complainant and Respondent may advise the Investigator of any witnesses they believe should be interviewed and any inculpatory or exculpatory evidence including, for example, e-mails, text messages, photographs, video surveillance, and/or other physical, documentary or other evidence.

As the investigation nears its end, the Investigator will provide written notice to the Complainant and Respondent of the pending close of the investigation and a final deadline by which additional evidence or information must be submitted for consideration by the Investigator. The burden of gathering evidence sufficient to reach a determination regarding responsibility rests on Carleton.

### **Investigative Report**

The Investigative Report will fairly summarize the relevant evidence. Following preparation of the Investigative Report, the Complainant and the Respondent will have the opportunity to review the

report and to inspect and review any evidence obtained as part of the investigation that is directly related to the allegations raised. The Title IX Coordinator will send to the parties (and any Advisor) the Investigative Report and evidence subject to inspection and review in an electronic format or hard copy. The parties will have 10 calendar days to submit a written response. The parties may take notes regarding the report. Parties may not make copies, take photographs, or make other recordings or images of the report or evidence. Parties and any Advisor(s) may be required to sign a non-disclosure agreement identifying that the review and use of evidence is permitted solely for the purposes of the sexual misconduct process.

The purpose of this response is (1) to identify any evidence the party believes to be relevant that the Investigator did not include in the preliminary report or initially identify as relevant, and (2) to meaningfully respond to the preliminary report and evidence. The purpose is not to present additional evidence, unless there is new evidence documented in the report that was not known to the party. Each party's response should not exceed 2,000 words in length. The response must be submitted within 10 calendar days after the first day the report has been made available for review. Any response submitted by the party will be made available for the other party. Any written response(s) will be considered by the Investigator before completing the Investigative Report.

After the submission of any such written response, neither the Complainant nor Respondent will be permitted to provide any further evidence, absent extraordinary circumstances as determined at Carleton's discretion.

## **Hearing**

A panel of Decision-Makers, one of whom is the Hearing Officer, hears a Formal Complaint that proceeds to a hearing. If the Respondent is a student, the panel will consist of the Hearing Officer and two other Decision-Makers, who may be Carleton faculty members, staff, or students. If the Respondent is a staff member, the panel will consist of the Hearing Officer and two other Decision-Makers, who may be Carleton faculty or staff. If the Respondent is a faculty member, the panel will consist of the Hearing Officer and two other Decision-Makers, who may be Carleton faculty or staff, but at least one of whom will be a faculty member.

The purpose of the hearing is for the Decision-Makers to objectively evaluate relevant evidence to determine whether or not the Respondent is responsible for engaging in Sexual Harassment. If the Decision-Makers determine that the Respondent has committed Sexual Harassment, they are also responsible for determining appropriate sanctions.

### *Preparation for the Hearing*

- The Title IX Coordinator or a designee will arrange the administrative details for the hearing, including: (1) selecting the Decision-Makers; (2) arranging a time and place for the hearing; (3) making the Investigative Report and evidence that is directly related to the allegations raised in the Formal Complaint available at the hearing so that both the Complainant and Respondent will have equal opportunity to refer to such evidence during the hearing; and (4) arranging for a Complainant or Respondent who does not have an Advisor to be appointed one.
- The hearing will occur with the Complainant and the Respondent located in separate rooms with technology enabling the Decision-Makers, the Complainant, the Respondent, and any Advisor(s) to simultaneously see and hear any party or witness answering questions.

## Conduct of the Hearing

- The Hearing Officer is responsible for managing the conduct of the hearing and ensuring that procedures are followed. The Hearing Officer facilitates all phases of the hearing and resolves all questions that arise during the hearing, including but not limited to procedural issues and issues regarding the propriety or relevance of specific questions, arguments, and information presented. The Hearing Officer will also seek to ensure an orderly and fair exchange of information during the hearing and, in the discretion of the Hearing Officer, any Decision-Maker may ask questions of any party or witness. If anyone attending the hearing acts without appropriate respect or decorum, including failure to comply with the Hearing Officer's instructions, the Hearing Officer may take appropriate action, including requiring that person to leave the hearing.
- At the hearing, both the Complainant's Advisor and the Respondent's Advisor will have the opportunity to ask the other party and any witnesses relevant questions and follow-up questions. Only relevant cross-examination and other questions may be asked of a party or witness. Before a Complainant, Respondent, or witness answers a question, the Hearing Officer will determine whether the question is relevant. If the Hearing Officer excludes a question as not relevant, they will orally explain their decision to do so.
- Questions and evidence about a Complainant's sexual predisposition or prior sexual behavior are not relevant unless: (1) they are offered to prove that someone other than the Respondent committed the conduct alleged by the Complainant; or (2) they concern specific incidents of the Complainant's prior sexual behavior with respect to the Respondent and are offered to prove consent.
- The Decision-Makers will not draw an inference about the determination regarding responsibility based solely on a party or witness's absence from the hearing or refusal to answer cross-examination or other questions.
- An audio recording, audiovisual recording, or a transcript of the hearing will be made and provided to the Complainant and Respondent for review after the hearing.

## Determination & Sanctions

- Following the presentation of information at the hearing, the Decision-Makers will determine whether the Respondent engaged in Sexual Harassment. The Decision-Makers will deliberate in private. In reaching a decision, the Decision-Makers will apply a **preponderance of the evidence standard** and will conclude that Sexual Harassment occurred if it is "more likely than not." The Decision-Makers will reach a decision by majority vote.
- If the Decision-Makers determine that the Respondent engaged in Sexual Harassment, they will deliberate further to determine appropriate sanctions. Carleton may implement any of the Supportive Measures outlined above at any time prior or subsequent to any finding of responsibility. However, disciplinary sanctions and remedies may only be implemented following a determination of responsibility. Such sanctions and remedies may range from a warning to expulsion or termination of employment. Other possible sanctions include required education or training; restrictions on participation in campus activities; change in work schedule or location; disciplinary probation; administrative leave; suspension with or without conditions for return; reassignment of duties; no-contact or limited-contact orders; chemical health assessment; restrictions on campus access, including housing or course enrollment; change of housing; and withdrawal or non-conferral of a degree. Sanctions may be



combined.

### Written Determination

- The Decision-Makers will issue a written determination regarding responsibility. The written determination will include:
  - A description of the allegations potentially constituting Sexual Harassment
  - A description of the procedural steps taken from the receipt of the Formal Complaint through the written determination
  - Findings of fact supporting the determination
  - Conclusions regarding application of policy to the facts
  - A statement of, and rationale for, the result as to each allegation, including any determination regarding responsibility and any sanctions or remedies
  - The procedures and permissible grounds for appeal
- The written determination will be provided to the parties simultaneously.

### Appeals

- A Complainant, Respondent, or Title IX Coordinator may appeal: (1) a determination regarding responsibility; or (2) any dismissal of a Formal Complaint or any portion thereof. Appeals are limited to the following grounds:
  - Procedural irregularity that affected the outcome
  - New evidence that was not reasonably available at the time the determination or dismissal was made that could affect the outcome
  - The Title IX Coordinator, Investigator, or Decision-Maker(s) had a conflict of interest or bias for or against complainants or respondents generally or the individual Complainant or Respondent and that conflict of interest or bias affected the outcome
- Appeals must be submitted in writing to the Appellate Officer within three days of receipt of the written determination or dismissal. When an appeal is filed by a party, Carleton will provide notice to the other party and an opportunity to respond to the appeal in writing within three days.
- If the Respondent is a student, the Dean of Students (or their designee) will serve as the Appellate Officer. If the Respondent is a staff member, the Vice President and Treasurer (or their designee) will serve as the Appellate Officer. If the Respondent is a faculty member, the Dean of the College (or their designee) will serve as the Appellate Officer.
- The Appellate Officer will issue a written decision describing the result of the appeal and the rationale which will be provided to both parties simultaneously. A determination of responsibility or dismissal becomes final either on the date that the Complainant or Respondent receives the written determination of the result of any appeal or the expiration of the deadline for any appeal.

## **VII. Retaliation Prohibited**

Carleton prohibits retaliation against any individual who makes a report, testifies, assists, participates, or refuses to participate in any manner in an investigation, proceeding, or hearing under this Policy.

## VIII. Privacy, Confidentiality, and Record Retention

Carleton will strive to maintain the privacy of all parties involved with a sexual misconduct allegation to the fullest extent possible. Maintaining privacy means that only individuals who need to know information about a matter will have access to it and that information will be handled with sensitivity. Publicly available records will not identify the parties.

Records relating to sexual misconduct allegations and investigations will be retained by the College for seven years.

## IX. Related Policies

Carleton has additional or related policies that may overlap and intersect with this Policy Against Sexual Misconduct, including:

- [Statement on Consensual Relations](#)
- [Minors on Campus Policy](#)
- [Community Standards Policy](#)
- [College Statement of Non-Discrimination](#)

## X. Miscellaneous

This Policy is not a contract nor is it possible for Carleton to contemplate every situation in which it may be required to respond. Nothing in this Policy prohibits Carleton from taking action to address a particular situation in accordance with applicable law.

*For further information, please see the [Sexual Misconduct Prevention and Response Web site](#).*

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For [Faculty](#), [General Public](#), [New Students](#), [Prospective Students](#), [Staff](#), [Students](#)

**Last Reviewed: Sep 22nd, 2021**

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Maintained by Dean of Students

## Political Activity

College employees are entitled to freely participate, off-hours, in political activity around an election process: However, the College, due to its tax-exempt status, is prohibited from engaging in certain types of political activity. It is particularly important that we are thoughtful about these issues during the election season. The ramifications of engaging in prohibited election activity include the imposition of excise taxes and loss of the College's tax-exempt status. *Please note that this policy does not apply to established student groups, such as the College Democrats and Republicans, who may use institutional facilities for partisan political purposes.*

Whether an educational institution has engaged in prohibited political activity depends on all of the particular facts and circumstances: For example, while it has been considered permissible to sponsor a forum to educate voters, no preference for or against a particular candidate may be

shown. Candidates may speak on campus so long as all legally qualified candidates are provided access on an equal basis. Non-partisan voter registration drives have also been deemed acceptable.

Employees may not use College resources, including e-mail, computers, telephones, fax or photocopying equipment, to work for or endorse a candidate, political party, or political action committee. The College may not “participate” or “intervene” in a campaign of any candidate for public office; endorse, expressly or impliedly, a candidate for public office; sponsor events to advance the candidacy of a particular candidate; invite employees to candidate events; publish ratings of candidates; or comment on actions, statements, or positions taken by candidates.

Again, utilization of Carleton resources is prohibited, as are public statements by officials where there is a risk that the statement could be attributed to the College.

The IRS has released guidance to tax exempt organizations regarding the facts and circumstances it considers when deciding whether a charitable organization has engaged in prohibited political activity in [Revenue Ruling 2007-41](#). The American Council on Education has provided [additional guidance](#).

If you have any questions or concerns about this policy, please contact Eric Runestad in the Treasurer’s Office at [erunestad@carleton.edu](mailto:erunestad@carleton.edu) or extension 5411.

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*September 8, 2008*

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For [Faculty](#), [Staff](#), [Students](#)

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**Last Reviewed: Oct 1st, 2021**

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Maintained by Vice President and Treasurer

## Release of Constituent/Alumni Information

### Contact the Following Offices with Questions:

<b>Alumni</b>	Alumni Relations x4205
<b>Students</b>	Registrar x4289
<b>International Students</b>	Intercultural & International Life x4013
<b>Parents</b>	Central Records x4195
<b>Staff</b>	Human Resources x4172
<b>Faculty</b>	Dean of the College x4303

### **ALUMNI** (Note: refers to both graduates and non-graduates)

Carleton College will release “directory” information (addresses, phones, e-mail, class year) only **to alumni**. Before responding, staff must refer to Advance database to determine if there is an alert on the alum’s record.

Carleton College will respect the wishes of all alumni who request that no directory information be

released about them to anyone. Staff receiving such requests should forward the directive to Central Records staff for appropriate action.

No information regarding alumni will be given **to non-alumni** unless:

1. it is official government business;
2. another educational institution requests such information to locate one of their alumni; or,
3. a non-alum sends to the Alumni Relations or Central Records offices a note, fax or e-mail message that includes the non-alum's name and mailing address. Staff will forward the message to the alum in question. Contact with the non-alum then will be at the initiative of the alum.

Requests by an alum for a large number of addresses should be submitted in writing and will be fulfilled at the discretion of the Director of Alumni Relations.

To protect alumni from unwanted business solicitations or from a large amount of inappropriate contact, no class, geographic, professional or other lists will be distributed unless:

1. the alum is serving the College in an approved volunteer capacity (i.e., as a club chair, class agent, admissions representative, reunion committee volunteer or careers coordinator);
2. as part of alumni career networking under the direction of the Director of the Career Center; or,
3. with the permission of the Director of Alumni Relations.

Information release restrictions determined by an alum for any and all online alumni directories will apply to all print alumni directories.

Constituent information will not be sent to non-staff. All special mailings to alumni must be approved by the Director of Alumni Relations. Upon approval, labels should be requested from Development Information Systems (x4496).

Call reports are for internal use only by members of the division of External Relations and other staff and volunteers as deemed appropriate by External Relations. They may not be shared without prior authorization.

College volunteers should receive only the prospect and donor information they need to perform their College-related duties.

## **STUDENTS**

Carleton College will refrain from disclosing any personally identifiable information contained in a student's education records, except certain information that may be revealed with the consent of the students or as otherwise permitted by law.

Carleton specifically reserves the right to disclose "directory information" to any party without a student's consent. "Directory information" includes information contained in an education record of a student which would not generally be considered harmful or an invasion of privacy if disclosed.

It includes:

- a. a student's name

- b. permanent and local college addresses
- c. all telephone numbers of record
- d. date and place of birth
- e. major or minor field of study or concentration
- f. participation in officially recognized activities and sports
- g. weight and height of members of athletic teams
- h. dates of attendance
- i. degrees and awards received
- j. most recent previous school attended
- k. photograph
- l. class year
- m. e-mail address

Students nonetheless have a right to request that directory information be kept confidential. Such a request should be signed by the student and submitted in writing to the Dean of Students. (Adopted by the board of Trustees, June 17, 1993, upon recommendation of the College Council.) Before responding to requests for student directory information, staff must refer to the Colleague database or the on-line directory (<https://apps.carleton.edu/campus/directory/>) to determine if information can be released.

For detailed information on Carleton policy for the release of education records to third parties see <https://apps.carleton.edu/campus/dos/#disclosure>.

Questions about international students should be directed to the Office of Intercultural & International Life (x4013).

### **CURRENT AND PAST PARENTS**

No information regarding parents of current and former students is to be released. Please contact the Assistant Vice President for Alumni and Parent Relations with questions (x4734).

### **FACULTY/STAFF**

Upon request, you may provide:

- job title
- on-campus telephone number
- Carleton e-mail address

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Last revised July 26, 2012

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For [Alumni](#), [Faculty](#), [Families](#), [General Public](#), [Staff](#), [Students](#)

## **Staff Guidelines on Committee Participation**

### **Introduction**

The officers of the College determine the need for committees to explore specific topics or issues and develop the appropriate group structure. By doing so, they specifically and tacitly send the message that committee participation is doing the work of the College.

It is important to emphasize the positive impact of the individual's participation in committee work, both to the individual and the College. The College benefits by having a large number of willing and interested staff from which to choose committee participants and from the knowledge they bring to the group process.

Individual staff participants are able to contribute to the college in a meaningful way, often on matters of interest not directly related to their jobs, and develop a new dimension to their sense of belonging and their ability to make a difference. It is essential that the individual staff participant communicate with one's supervisor and assist in determining work schedules and assignments in conjunction with the participant's work, the work of others, and the effective progress of the department's work.

Obtaining prior approval from your supervisor is essential for successful committee involvement on the part of the individual staff participant, the College and department operations. Continued communication with one's supervisor and co-workers can help prevent work-stress problems. Communication can also promote equitable committee participation among staff members within a department and consistent work priorities.

### **Balance Work Load and Committee Assignments: Assessment Questions for Staff and Supervisors:**

Staff participation on committees should be evaluated in order to assess the impact participation will have on the participant's workload, the workload of others, and daily operations. The amount of work that may need to be delayed, reassigned, or eliminated needs to be identified and evaluated. Schedule changes may be required for the participant or others. Such changes would need to be reviewed for budget and legal FLSA (Fair Labor Standards Act) impact and compliance.\*

The staff participant and supervisor should discuss these and any other pertinent topics. The following is provided as an aid in evaluating what effects, if any, staff participation on committees will have on the department:

1. In what other committee assignments is this staff member currently active?
2. Will a change in work schedule be likely or necessary, since this is paid work time? If not, is flexible time during the same week available?
3. Will staff coverage for the department be affected? How? What is the solution?
4. What adjustments in work assignments or deadlines may need to be made? Which work deadlines cannot be adjusted?

5. Will committee participation result in reassignment of work to others? What? To whom?
6. What is the expected meeting time commitment?

\*The supervisor needs to view any operational solutions in terms of the impact on the budget and the provisions of the Fair Labor Standards Act (FLSA). The department's budget will be affected if the staff member is subject to the provisions for the FLSA (at Carleton this is defined as employees who are paid on a bi-weekly basis) and a schedule change results in added hours to a part-time work schedule or the added hours result in overtime pay (hours worked in excess of 40 in any one work week). It is important to note that paid time off, in lieu of working more than eight hours per day, must be taken in the same work week in which the additional hours per day are worked. If the staff member works more than 40 hours per week, overtime will be paid for the hours worked over 40. If the staff member is not subject to the FLSA (at Carleton this is defined as employees who are paid on a monthly basis), there will be no budget impact, but workloads and deadlines should still be reviewed as suggested above.

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*As recommended by the "Committee on Committees" group - June 2006.*

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Last revised May 6, 1999

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For [Staff](#)

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**Last Reviewed: Jan 6th, 2021**

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Maintained by Human Resources

## **Staff Relations-Student & Inter-Departmental**

### **Inter-departmental Staff Relations**

Employees of the College by their actions and attitudes do much to interpret the College to the general public. Each year many visitors to the College depend on employees for information and assistance in locating persons or places on campus. Visitors frequently comment about the friendly way they are welcomed as they arrive at Carleton, and it is hoped that the good name of the College will continue to be improved by such courteous treatment of guests. In answering questions and giving directions, it should be kept in mind that the online campus directory is an excellent source of information regarding people, departments, and places on the campus. Those with whom the public comes in contact personally and over the telephone have an added responsibility to be pleasant and courteous in their attitude and conversations. Many times the institution is judged in a positive or negative way by the manner in which an employee greets a visitor on the campus or by the inflection of a voice over the telephone. Please keep in mind that the character and personality of an institution can only be expressed through those who work for it, and one individual's actions may account for a lasting impression of the College.

The friendly way we treat visitors should also be reflected to our co-workers. We should treat each other civilly and respectfully. Non-courteous behavior should be reported to the supervisor.

### **Staff- Student Relations**

Everything one can say about the importance of good public relations applies with equal force and emphasis to the interaction we have with students during the course of our regular activities on campus. Any employee with whom a student has contact is in a position to contribute to that student's education in a real and possibly important way.

The majority of our contacts with students are interesting and rewarding as student enthusiasm "rubs off." It is ultimately to our advantage to remain courteous, non-argumentative, and calm – not always easy to do. As part of the College's extensive student work study program, most staff interact daily with students as employees in nearly all College departments. Bear in mind, though, that more than anyone else, the student is the "customer, client, and public" all rolled into one, and in the final analysis his or her existence is the only justification for our work at Carleton College.

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For [Staff](#)

**Last Reviewed: May 28th, 2021**

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Maintained by Human Resources

## Statement on Consensual Relations

The well-being of the learning and teaching community at Carleton College depends upon the existence of a relationship of trust, respect, and fairness between the faculty or staff and the students. Romantic and/or sexual relations, even if consensual, between faculty or staff members and their students (those whom they currently teach, advise, supervise, coach, or evaluate in any way) violate the integrity of the student/teacher or student/staff relationship as described above. Such relations are therefore prohibited by the College and constitute grounds for disciplinary action up to and including dismissal.

Because any romantic and/or sexual relationship between a faculty or staff member and a student has the potential to jeopardize the quality of the academic, living or working environment of the community, the College strongly discourages such relations. The College will therefore take appropriate disciplinary action (up to and including dismissal) should such a relationship be found to undermine the trust, respect, and fairness that are central to the success of Carleton's educational mission.

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*Adopted by the Executive Committee of the Board of Trustees June 20, 2002.*

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Last revised June 20, 2002

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For [Faculty](#), [Staff](#), [Students](#)

**Last Reviewed: Jan 13th, 2020**

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Maintained by Human Resources

## Statement on Discrimination and Academic Freedom

The following is a statement of policy as well as a statement of values. It is intended to help sustain a civil atmosphere of unfettered intellectual freedom at the College and to discourage discriminatory speech and actions by its members.



As an institution dedicated to learning and teaching, Carleton College is committed to the principle of free expression and exploration of ideas in an atmosphere of civility and mutual respect. The College therefore also embraces the related principle that all members of its community shall have access to its educational facilities, activities, and employment without regard to race, color, creed, ethnicity, religion, sex, national origin, marital status, veteran status, actual or perceived sexual orientation, gender identity and expression, status with regard to public assistance, disability, or age. These principles guide the College's relationships with individuals and should guide the interactions of all members of the community.

A possible breach of the foregoing principles may be brought to the attention of the appropriate College officer: the Vice President and Treasurer, Dean of the College or Dean of Students, if the party responsible is, respectively, a staff member, faculty member, or student.

While the nature of an academic community is to provide a milieu for the expression, criticism and discussion (and for the tolerance) of the widest range of opinions, it does not provide a license for bigotry in the form of demeaning, discriminatory speech or actions. Thus, the presentation of a reasoned or evidenced claim about a societal group that offends members of that group is to be distinguished from a gratuitous denigrating claim about, or addressed to, an individual or group such as those enumerated above. The former is bona fide academic behavior while the latter may demean, degrade or victimize in a discriminatory manner and, if so, undermines the above principles.

Discriminatory speech and actions are especially abhorrent when they are made anonymously, for anonymity precludes the possibility of an exchange and exploration of ideas; moreover, such an anonymous message by the very nature of its delivery is a threat to the recipient. Discrimination by one person against another is also particularly abhorrent when the first person is in a position of power with respect to the second, whether in the academic, administrative, political, or social hierarchy on the campus.

Although this policy attempts to eliminate certain behavior and actions on the campus, Carleton cannot guarantee that the environment will always be comfortable for all the members of the community. Often, the educational process is disturbing and unsettling; when one's ideas are under attack and one's values are being challenged, the effect may be simultaneously painful and highly educational. Thus, behavior that is disturbing or unsettling to an individual or group is not necessarily discriminatory. In this regard, it is imperative that faculty and students be able to take controversial positions without fear, in accordance with the principle of academic freedom.

Students, faculty, and staff of Carleton College are asked to support this anti-discrimination policy through participation in discussions about it. The College will facilitate this by providing educational opportunities and forums for such discussions to take place and by making it possible for students, faculty, and staff to attend them. The policy will be distributed to all students, faculty, and staff members each year. The College will actively encourage the discussion of issues raised by the policy in appropriate classes, meetings, symposia, and college publications.

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*Adopted by the Board of Trustees June 21, 1990, upon recommendation of the College Council.*

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Last revised June 21, 1990

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For [Faculty](#), [Staff](#), [Students](#)

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**Last Reviewed: May 28th, 2021**

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Maintained by Human Resources

## Statement on Diversity

Carleton College aspires to provide a liberal arts education that equips students with the skills to lead a fully realized life in a diverse and changing world. A Carleton education recognizes that the world's people differ in their race and ethnicity, culture, political and social worldviews, religious and spiritual understandings, language and geographic characteristics, gender, gender identities and sexual orientations, learning and physical abilities, age, and social and economic classes.

It is essential to our high academic standards that we be committed to creating a diverse campus community because:

- Carleton has a responsibility to educate talented and diverse students, and we have a strong commitment to underrepresented groups.
- Carleton students must meaningfully encounter difference in order to grow personally and live fruitfully in society and contribute to its work.

The core principles of a liberal arts education are based on mutual respect, communication, and engagement, which commits us to create and affirm a culture of respect for people in all aspects of their lives. Carleton seeks to provide a welcoming and safe living and learning space, while we also recognize that the pursuit of a liberal arts education can involve discomfort and disagreement. Carleton affirms that the college and its community grow in understanding when established views are challenged.

A community that fosters diversity of thought and an open exchange of ideas can only emerge from the participation of individuals with different backgrounds and worldviews. Because creative and talented people come from many places and have many backgrounds, Carleton College is dedicated to attracting and retaining a diverse faculty, staff, student body, and Board of Trustees and sees this as among our highest priorities. Carleton's commitment to diversity will sustain and enrich the learning and living environment that defines the institution and its place in the world.

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*Approved by the DIG (unanimously), October 17, 2006.*

*Approved by the Faculty (unanimously), November 6, 2006*

*Approved by the College Council (unanimously) January 15, 2007*

*Approved by the Board of Trustees (unanimously) May 19, 2007*

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Last revised May 19, 2007

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For [Faculty](#), [Students](#)

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**Last Reviewed: Oct 4th, 2021**

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Maintained by Office of the President

## Student Organizations and Groups

**“Organization”** means a collection of students who are recognized as such by the CSA Senate, having complied with the requirements set by the Senate for recognition, including (but not limited to) furnishing a list of officers and developing and abiding by a budget (for those organizations that seek CSA funding), and providing a statement of aims and purposes.

**“Group”** means a collection of students who have not complied with the requirements for becoming an organization, but who seek to act in concert for some defined purpose.

Student organizations and groups may be established within the College for any legal purpose. Affiliation with a legal extramural organization shall not, in itself, disqualify the College branch or chapter from College privileges.

A group shall become an organization when formally recognized by the CSA Senate. The Dean of Students reserves the right to review and modify such decisions of the CSA Senate. Upon recognition of an organization, the CSA Senate shall make clear that said recognition implies neither approval nor disapproval of the aims, objectives, or policies of the organization.

Each College-related organization shall clearly state its aims, the obligation of its members, and its selection criteria. Those criteria and obligations must be consistent with the organization's aims.

Any organization which engages in illegal activities, violates its constitution or aims, or adversely affects the College's maintenance of a residential, educational community, may have sanctions imposed against it by the CSA Senate, including withdrawal of the CSA Senate recognition. Sanctions imposed by the CSA Senate are subject to review by the College Council.

The CSA Senate shall have the authority to allocate College funds derived from student fees for use by organizations. Only organizations (as opposed to groups) may receive College funds on a continuing basis. A group that continues must meet standards for organization.

Every organization shall submit a statement of income and expenses (budget) to the CSA Senate on a regular basis, but not less than annually. Approval of requests for funds is conditioned upon submission of such budget to, and approval of such budget by, the CSA Senate.

Departure from an organization's approved budget may be cause for the CSA Senate to impose sanctions. The College reserves the right to take action where funds are being allocated inappropriately by the CSA Senate or used inappropriately by an organization.

No organization, group, or individual may use the College's name without the express authorization of the College Council except to identify the institutional affiliation. College approval or disapproval of any policy may not be stated or implied by an individual, group, or organization.

Membership lists of any group or organization will be available to College authorities in the ordinary pursuit of their duties. In addition, the names and addresses of officers shall be required as a condition for access to College funds. However, membership lists will not be released outside the College without the consent of the organization or group. The lists of officers and, where appropriate, the members of organizations will be kept and released by the Director of Student Activities.

College facilities and services may be used by organizations, groups, and individuals within the College for regular business meetings, for social programs, and for programs open to the public. The [Student Activities](#) office works in conjunction with the CSA Senate and all student groups and organizations, in planning programs, helping to raise funds, and supervising contractual relationships with off-campus organizations. The [Campus Services](#) office is responsible for scheduling the use of College buildings.

For [Students](#)

**Last Reviewed: Mar 4th, 2021**

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Maintained by Dean of Students

## Student Publications

“Student press” means either a student organization whose primary purpose is to publish and distribute any publication on campus or a regular publication of a student organization.

The student press is to be free of censorship. The editors and managers shall not be subject to disciplinary sanctions because of student, faculty, administration, alumni, or community disapproval of editorial policy or content. Similar freedom is assured oral statements of views on a College-controlled and student-operated radio or television station. However, any radio or television station will be subject to all applicable laws and regulations of the Federal Communications Commission. Compliance with FCC laws and regulations will be enforced by the Dean of Students.

All student press and broadcast communications shall explicitly state or report that the contents of editorial broadcasts are the responsibility of the editor or station manager and are not necessarily those of the College or its students.

Any student, group, or organization may distribute written material on campus without prior approval, providing such distribution does not disrupt the operations of the College. Anyone seeking to post material in the Campus Center must abide by the policies governing posting maintained by the [Student Activities Office](#).

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*Adopted by the Board of Trustees June 17, 1993, upon recommendation of the College Council.*

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For [Students](#)

**Last Reviewed: Mar 4th, 2021**

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Maintained by Dean of Students

## Surveillance Camera Guidelines

### Purpose

Carleton College is committed to enhancing the quality of life of the campus community by integrating the best practices of safety and security with technology. A critical component of a comprehensive security plan is the utilization of a surveillance camera system. The surveillance of public areas is intended to deter crime and assist in protecting the safety and property of the College. It is an extension of the college’s law enforcement function even though it is managed by Auxiliary Services.

These guidelines address the College’s safety and security needs while respecting individual privacy of those attending, working or visiting Carleton College. To ensure the protection of

individual privacy rights and related state and federal laws, this statement formalizes the process of installing surveillance equipment on College property. Additionally, these guidelines pertain to the viewing, retention, dissemination, and destruction of recordings.

## **Installation Procedures and Locations**

The use of surveillance cameras is limited to uses that do not violate a person's "reasonable expectation of privacy", as that term is defined by law. All surveillance cameras, including those in temporary locations or for active monitoring, will only be installed with the advance approval of the Director of Security Services and the appropriate College vice president. The College's use of surveillance cameras for monitoring or recording must be used in a professional, ethical, and legal manner consistent with all existing College policies. Although not legally required to do so, the College will inform student employees when surveillance cameras are utilized in the workplace.

The College will limit camera positions and views of certain areas. Any view within a residential area will be no greater than what is available with unaided vision. Surveillance cameras will not view private bedrooms, bathrooms, locker room dressing/shower areas, offices, classrooms not used as a lab, or areas through windows. Surveillance cameras will be installed and configured to prevent tampering with or duplicating recorded information. All new installation of surveillance cameras must connect to the College's main system.

## **Viewing**

Only authorized personnel, as determined by the Director of Security Services and appropriate College vice president, will be involved in, or have access to, surveillance monitoring. The existence of this policy does not imply or guarantee that cameras will be monitored in real time 24 hours a day, seven days a week, however the College reserves the right to do so.

## **Retention and Release of Information**

Images obtained through surveillance monitoring or recording will be retained for a length of time deemed appropriate for the purpose of monitoring, but not to exceed 90 days, unless such images have historical value, or are being used for a criminal and/or judicial investigation in accordance with this policy. Surveillance recordings will be stored in a secure location with access by authorized personnel only.

College personnel are prohibited from using or disseminating information acquired from surveillance cameras except for official purposes. All information and/or observations made in the use of surveillance cameras are considered confidential and can only be used for official College and law enforcement purposes. Information and results obtained through surveillance monitoring or recording will only be released when authorized by the Director of Security Services and the appropriate College vice president.

All requests from sources external to the College for the release of information and results obtained through surveillance monitoring or recording must be submitted to the Director of Security Services.

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Last revised July 1, 2013

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For [Alumni](#), [Faculty](#), [Faculty Emeriti](#), [Families](#), [General Public](#), [New Students](#), [Prospective Students](#), [Staff](#), [Students](#)

## **Unlawful Use of Drugs and Alcohol**

### **Introduction**

The Drug-Free Schools and Communities Act Amendments of 1989 (Public Law No. 101-226) require colleges and universities to adopt a program to prevent the use of illicit drugs and the abuse of alcohol by students and employees.

See [Drug-Free Workplace policy](#).

All Colleges and universities must give notice to each student and employee that unlawful use of drugs and alcohol is prohibited, describe applicable legal sanctions and health risks, list counseling programs available, and advise students and employees that violation of this policy could lead to penalties up to and including expulsion from the College, termination of employment, and/or referral to civil authorities for prosecution.

The College is committed to maintaining a campus and workplace environment where members may live, learn, and work free of the deteriorating effects of drug and alcohol abuse. To this end the College carries out drug and alcohol abuse education and prevention programs.

### **Policy Requirements**

The unlawful possession, use or distribution of illicit drugs and alcohol by faculty, staff, or students on College property or as part of any of its activities is absolutely prohibited. Carleton College grants permission for reasonable and lawful consumption of [alcohol at registered College events](#) when served by a licensed caterer such as Bon Appétit.

### **Legal Sanctions**

In addition to disciplinary sanctions by the College, students and employees who violate the law maybe subject to criminal prosecution under federal, state and local laws that specify imprisonment and fines for conviction of alcohol and drug-related offenses. The seriousness of the offense and penalty imposed generally depends on the type and amount of substance involved. The following links are provided to ensure awareness of legal sanctions:

[Provisions of the Federal Controlled Substance Act, 21 U.S.C. 801 et al](#)

[Federal Trafficking Penalties](#)

[MN Controlled Substances Laws and Sanctions](#)

[MN Underage Alcohol Offenses](#)

[Northfield City Codes & Ordinances](#)

### **College Consequences**

Any faculty, staff, or student found in violation of this policy will be subject to disciplinary actions by the College up to and including expulsion from the College, termination of employment, and/or referral to civil authorities for criminal prosecution. The College may also require participation in an appropriate drug or alcohol assistance or rehabilitation program.

### **Risks to Life and Health**

Abuse of drugs and alcohol leads to impaired behavior and judgment, a jeopardizing of relationships, and the likelihood of deteriorated work performance. Associated health risks include increased risk of accidental injury or death, depression, suicide, brain damage, heart and respiratory failure, liver damage, and sexually transmitted disease due to impaired sexual decisions.

### **Counseling, Treatment and Rehabilitation**

Drug or alcohol counseling, treatment and rehabilitation/re-entry programs for faculty, staff, and

students are available from a variety of sources. Anyone who recognizes a personal drug or alcohol problem, is concerned about another student or co-worker, or who may wish to know more about drug and alcohol abuse may contact:

### Internal Sources

#### Students

Dean of Students Office, ext. 4248 or 4075

Residential Life, ext. 5465

Student Health and Counseling, ext. 4080

[Office of Health Promotion](#), ext. 5246 or 5587

#### Faculty and Staff

Dean of the College, ext. 4303

Human Resources Office, ext. 7471

[Employee Assistance Program](#) with Health Partners

### External Sources

[Alcoholics Anonymous](#)

[Omada Behavioral Health Services](#) HCI in Northfield

[Rice County Mental Health & Chemical Dependency](#)

[Dakota County Chemical Health](#)

[Northfield City Codes & Ordinances](#)

#### Biennial Review

Human Resources, the dean of students, and the dean of the college will conduct a biennial review of the College's Drug and Alcohol Abuse Prevention Program to determine its effectiveness, implement needed changes, and insure consistent enforcement of disciplinary sanctions.

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Last revised January 1, 2003

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For [Faculty](#), [Staff](#), [Students](#)

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**Last Reviewed: Jan 13th, 2020**

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Maintained by Human Resources

## Use of Unmanned Aircraft Systems (Drones) On and Off Carleton's Campus

### Policy Statement

This policy exists to ensure safe and proper operation of Unmanned Aircraft Systems (UAS), commonly referred to as drones, for the benefit of the Carleton community. The conditions outlined here are in addition to Federal or State requirements.

**All UAS operation must be in compliance with [FAA regulations](#) and [State of Minnesota regulations](#). In addition...**

#### On-campus operations of a UAS:

1) Must be conducted for purposes that benefits Carleton academics, public relations, communications, formally sanctioned programs or Carleton endorsed commercial reasons.

*Recreational use of UAS is prohibited on Carleton property and in airspace over Carleton property.*

2) Must be conducted by or under the direct supervision of a pilot with a current FAA Remote Pilot's Certificate. The certified pilot must either be Carleton faculty or professional staff or be under the direct supervision of Carleton faculty or professional staff. UAS [Northfield AirSpace](#) map is available for your reference.

3) Requires that the certified pilot must serve as the Pilot in Command as defined by [UAS Pilot Certification Standards](#).

4) Requires that Carleton owned UAS' must be insured through Carleton's Business Office.

5) Requires that contractors or other third parties are hired or otherwise requested to use a UAS for purposes associated with a Carleton facility or event, the organizing department shall contact the [Risk Manager](#) to insure that the UAS owner and operator has adequate liability insurance and take the risk mitigation arrangements deemed appropriate.

6) Requires the Pilot's FAA license, [FAA Drone Registration](#), and Certificate of Insurance must be on record with Carleton's Risk Manager and the Security office prior to any flight. (To ensure processing time, it is recommended that these documents be submitted no fewer than seven (7) days prior to the flight date). Additionally, while operating the UAS on campus, all non-Carleton faculty/staff must be able to immediately produce the written approval from Carleton's Risk Manager. [The Permission Request and Document Submission Form is available here.](#)

7) Requires that all UAS pilots must have written permission from the director of the associated Carleton department or location supervisor. For example: flying in Carleton's arboretum must have written permission from the [Director of the Arboretum](#); flights involving athletics would require permission from the [Athletic Director](#).

8) Requires that any UAS flight must be preceded by notifying [Campus Security](#) with exact flight times and location.

9) Requires that any injuries or any damage to Carleton property that results from or is related to drone operation--no matter how minor--must be immediately reported to the Carleton Security office.

10) Requires that operators must be able to present an up to date Flight Log and Maintenance Schedule, and verification of inspection within last calendar year, upon request. [Sample Flight Log](#). [Sample Maintenance Schedule](#).

#### **Off-Campus Operations of a UAS:**

1) This sections applies to domestic and international drone flights.

2) Must adhere to rules outlined for On-Campus operations of a UAS.

3) Must be preceded by the Pilot in Command thoroughly reviewing all applicable laws and regulations for UAS operations at off-campus location.

4) Must be preceded by Pilot in Command obtaining written permission from the appropriate off-campus property manager and/or local authorities, where applicable.

#### **Prohibited Use**



1. **Recreational use of UAS is prohibited on Carleton property and in airspace over Carleton property.**
2. A UAS will not be used to monitor or record areas where there is a reasonable expectation of privacy in accordance with accepted social norms. These areas include but are not limited to student housing, restrooms, locker rooms, changing or dressing rooms, or health treatment rooms. “Surreptitious intrusion” or use of an “observation device” may be prosecuted under [Minnesota Statute 609.746 Interference with Privacy](#).
3. Carleton strictly prohibits flying any UAS/Drone indoors 1) without carefully planning safety protocols, 2) having those protocols approved by Carleton’s Risk Manager, 3) and if the drone wights 55 lbs or more.

The College may, at its discretion, suspend any UAS activity deemed as dangerous, or otherwise interfering with, or interrupting the operations of the College. Should a discrepancy between College policy and FAA regulations exist, the more restrictive regulation will govern.

This policy will be reviewed annually by the Business Office and Carleton’s FAA certified UAS Pilots.

Last Reviewed: February, 2021 Business Office

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Last revised February 3, 2021

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For [Faculty](#), [Staff](#), [Students](#)

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**Last Reviewed: Feb 3rd, 2021**

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Maintained by Business Office

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Academic Regulations & Procedures

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Buildings & Grounds

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College Governance

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Communications

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**Community**

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Employment & Benefits

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Events

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Faculty Appointments

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Financial

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Health & Safety

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Housing & Residential Living

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Information Technology, Documents, & Records

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Research

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Travel & Transportation

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The [Campus Handbook](#) is the one place to find all official Carleton College policies and guidelines. It contains the [Student](#), [Faculty](#), and [Staff](#) handbooks. These policies and guidelines are subject to change.

If you have questions or corrections, please email [campus-handbook.group@carleton.edu](mailto:campus-handbook.group@carleton.edu).

[Campus Handbook Archive](#) • [Tools for Policy/Guideline Maintainers](#)

This page last updated 18 July 2014.

[Login](#)

## Employment & Benefits

This section provides an overview of many benefits available to faculty and staff. In the event of conflict between the overview provided in this handbook and the plan document or insurance plan, the plan document or insurance plan will govern. Complete descriptions are not possible in the handbook; employees should contact Human Resources for specific plan details. The Labor Agreement governs in the case of Union employees in all aspects of this section. Regular non-union employees who have a schedule involving a (.46) FTE or above, and Union employees who have a (.50) FTE or above are eligible to participate in the College's benefit programs.

Carleton College will comply with all applicable laws such as ACA, FMLA, federal, state, and any applicable regulations.

### Background Checks

Carleton College is committed to creating and maintaining a safe and secure learning and working environment for its faculty, staff, students, volunteers, and visitors.

As a part of that commitment, Carleton will conduct pre-employment background checks on new faculty and staff. In addition, background checks will be conducted for rehired employees and for current employees who move to a substantially different position or assume additional roles requiring a background check (e.g. security-sensitive positions; employees traveling with students, transitions to managing Background checks for volunteers may also be conducted where deemed appropriate based on the nature of the campus event and volunteer assignment. Only designated student employment positions will require a background check.

Background checks will generally include a social security number verification, a criminal history check, and a national sex offender registry check. Positions subject to requirements of licensing boards may require additional checks (e.g. counselors) and will be managed by the hiring department.

Also, certain position requirements may necessitate additional checks, including but not limited to a credit report, driving records, a pre-employment physical, a *Kari Koskinen* background check (see Minnesota Statutes 299C.66 to 299C.71), and a Background checks on psychotherapists (see Minnesota Statutes, §§ 604.20-604.205).

The Office of Human Resources department (for staff positions) and the Office of the Dean of the College (for faculty positions) will conduct and oversee the background check process utilizing a third-party vendor contracted by Human Resources. The college reserves the right to make the sole determination concerning the significance of information received through a background check and any employment decision arising from the background check. Determinations for faculty positions will be made by the Dean of the College and determinations for staff positions will be made by the Human Resources Director.

**A successful background check must be completed prior to an individual's first day of work** or first day providing volunteer service for events where a volunteer background check is deemed appropriate. In

the event of an emergency hiring scenario, an exception to this requirement is subject to the pre-approval of the Human Resources Director (for staff positions) or Dean of the College (for faculty positions).

Background check information will be confidentially maintained separate from an individual's personnel file.

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Last revised May 26, 2020

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For [Faculty](#), [Staff](#), [Students](#)

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**Last Reviewed: May 26th, 2020**

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Maintained by Human Resources

## Childrearing, Family, and Medical Leaves

A tenured, tenure-track, PEAR, or continuing faculty member may request up to one year of unpaid leave of absence for childrearing (parenting); however, only the first 12 weeks of this leave for adoption or placement of a foster child will apply toward a paid Family and Medical Act of 1993 (FMLA). If the parents of a newly placed child are both employed by the College, one twelve-week paid leave will be shared. The College's contribution to benefits will continue during the first six months. Beyond that, the faculty member may continue health and life insurance benefits by paying the full premium cost (both College and employee contributions), according to federal continuation guidelines (COBRA).

A tenured, tenure-track, PEAR, or continuing faculty member may request up to twelve weeks of unpaid FMLA leave to care for an ill child, spouse, domestic partner, or parent or in the event of their own serious illness, provided that the faculty member has worked for the College for at least one year prior to the leave. In accordance with the Family and Medical Leave Act of 1993, benefits would continue during such a leave for up to twelve weeks. No more than one such leave shall occur in any rolling twelve-month period. Arrangements should be discussed with the department chair and the dean of the college. In these cases, documentation of the illness will be required from the individual's physician.

When the Childrearing, Family, or Medical Leave of Absence has ended, the faculty member will return to his or her original position and rate of compensation without loss of any other right or privilege of employment. If the faculty member is in a tenure-track position and takes a full year's leave, he or she is entitled to a one-year delay in the review process; delaying the review process is negotiable if the leave is shorter than a full year or longer than a year. Such "stopping the clock" should be discussed with the department chair and the dean of the college. (See **Tenure and Terms of Service** under **Faculty Appointments**).

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Last revised August 27, 2014

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For [Faculty](#)

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**Last Reviewed: Mar 1st, 2022**

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Maintained by Dean of the College Office

## Civic Duty

### Jury Duty, Election Judging, American Red Cross

Regular employees called to jury duty or who serve as a volunteer as an Election Judge or for the

American Red Cross will retain all rights and privileges as College employees while on such duty. Therefore, the College will supplement pay so that in total, employees will receive 100% of their regular salary. If paid for their services, employees are required to turn in the check they receive to the cashier in the Business Office. Employees may keep the portion of the check received for mileage. American Red Cross employees who have been requested to be certified disaster service volunteers, with the authorization of the employee's supervisor, may be granted a leave not to exceed ten working days in each fiscal year. The amount of Civic Duty pay is calculated based on the employee's budgeted weekly hours. Employees must notify their immediate supervisor at least two weeks prior to their need to use this leave. Questions on eligibility should be directed to Human Resources.

### **Subpoenaed Employee**

An employee subpoenaed to appear on behalf of the College in court during work hours will be paid for his or her normal scheduled work hours. Time off for subpoenas by other entities is unpaid; however, a staff member may use accrued vacation or floating holiday time to cover the absence.

### **Voting**

Employees who are not able to vote outside of their work hours are permitted paid leave for the time necessary to appear at the employee's polling place, cast a ballot, and return to work on the day of the election. Elections covered are state primaries, general elections, United States Senator/Representative or State Senator/Representative.

Hours used for the above should be noted in Web Time Entry as Civic Duty under the "Other Time Types" drop down.

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Last revised July 13, 2012

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For [Staff](#)

### **Last Reviewed: Jan 6th, 2021**

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Maintained by Human Resources

## **Conditions of Employment**

This section provides an overview of employment conditions for exempt and non-exempt staff. The Labor Agreement governs in the case of Union employees in all aspects of this section.

### **Definition of Employee**

A regular employee is one who is regularly scheduled to work 18.4 hours per week or more. Regular employees are eligible to participate in the College's benefit programs.

An employee may be further defined by an assigned work schedule:

- Regular Full-Time: Scheduled to work 40 hours per week. 52 weeks per year.
- Regular Part-Time: Scheduled to work at least 18.4 hours per week (but less than 40 hours per week) for a minimum of 10 months or more per year.
- Temporary Part-Time: Scheduled to work less than 18.4 hours per week or temporarily assigned.

### **Volunteers**

Non-Carleton employees may be approved to volunteer at Carleton College under the supervision of a designated department or division. Volunteers must be 18 years of age or older. Volunteers must understand and comply with the duties and responsibilities of the assigned tasks. The respective division/department supervisor will specify their task parameters. All volunteers are expected to represent Carleton College in a professional and responsible manner. Our goal is to protect our volunteers from injury or illness while serving the College. However, it is important that volunteers are aware that Workers Compensation does not apply to volunteers because they are not a paid employee. If a volunteer is involved in an incident or accident, it should immediately be reported to the Risk Manager. Carleton College will require that the volunteer review and sign the Volunteer Work Form, as well as their designated supervisor. Supervisors can find this form on the Human Resources website on the [Documents and Forms](#) page. The signed document will be retained by the Business Office Risk Manager.

## Independent Contractors

Periodically services that may utilize the skills of an independent contractor are required when other means are impractical. Prior to hiring a contractor, please contact Human Resources to evaluate whether the work requested meets the criteria to determine employee or [Independent Contractor](#) status. This step is completed through the submission of an [Independent Contractor Evaluation Form](#) which will verify the independent contractor status. If the service provider is determined to meet the classification of an employee, approval must be made through the Human Resources hiring process and include associated fringe benefit costs, employer payroll taxed and insurance risks inherent with employees. Misclassification of service providers as independent contractors exposes the College to penalties from the IRS and other regulatory agencies. **The commitment to hire an independent contractor should not be made until the status is confirmed by Human Resources.**

## 1. Employment Requirements

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### Employment Records/Orientation

All offers of employment are contingent upon completing all required documents. New employees are required to meet with Human Resources to complete these documents. Human Resources must have a Social Security number on record for each employee. A new employee who does not have a number must apply for one.

A new employee must, within three days of date of hire, verify their identity and eligibility to work in the United States according to the provisions of the 1986 Immigration Act (form I-9). A list of additional acceptable documents may be obtained from Human Resources.

A Withholding Tax Exemption Certificate (form W-4), for both Federal and State Tax withholding purposes, must be filed with Human Resources.

Employees have a right to review their file, upon a written request made in good faith, once every six months while employed. After termination, employees may review their records once annually for as long as the employer maintains the record. An employer must comply with an employee's good faith, written request to review their file within seven working days if the record is within the state, and within 14 working days if the record is out of state. After the review, the employee may request in writing a copy of the record. If such a request is made, the employer must provide a copy, at no charge, to the employee. If the employee disputes information contained in the record and the employer does not agree to remove or revise the disputed information, the employee may submit a written statement explaining the employee's position. This statement must be included in

the personnel file for as long as the employer maintains it. If an employer violates the statute, employees may bring a civil action to compel compliance and for actual damages and costs. Employers may not retaliate against employees for asserting rights or remedies under the statute. If an employer unlawfully retaliates against an employee, the employee may bring a civil action to compel compliance and for actual damages, back pay, reinstatement, equitable relief, and attorney fees.

### **Background Checks**

To protect the welfare and provide for the safety of the students, employees, and institutional resources of Carleton College, Human Resources will conduct background checks on final applicants for specified positions at the College.

Carleton College assesses the needs for background checks for all Carleton positions at the College. Background checks must be authorized by the new employees through signature on a consent form (as per the Fair Credit Reporting Act (FCRA)). These checks are completed solely for the purpose of hiring, promoting, and retaining qualified employees.

Pursuant to applicable law, Carleton College employees or prospective employees holding positions that allow access to campus housing units will be required to sign a consent form which allows Human Resources to conduct finger print criminal background checks. Failure to comply with this will be grounds for dismissal or retraction of an employment offer. The College reserves the right to consider information received from the background checks to determine eligibility for employment or continued employment.

### **Physicals**

Prospective employees receiving conditional offers of employment which require significant physical activity and lifting activities as part of the essential job functions will be required to undergo a workplace physical (without request of genetic information) to determine if the employee is capable of performing the essential functions of the position with or without reasonable accommodation.

## **2. Initial Review Period**

An initial review period of up to 90 days is necessary for some positions to determine whether an employee is fully qualified for regular employment and a good fit with the needs of Carleton College. This does not negate the At Will relationship of the employee and employer.

## **3. At Will Employment**

Employment with the College is not for any set period of time unless an individual is hired under the provisions of a letter of appointment which specifies length or conditions of employment. In other cases, the College or an employee may choose to end their work relationship at any time and for any lawful reason.

## **4. Discipline**

Disciplinary measures can include but are not limited to, in any order, verbal or written warnings, suspension, or termination. Specific disciplinary action will be determined by the supervisor, based on the specifics of each case and will depend on such factors as frequency, severity, and gravity of the situation. In general, the College will use progressive discipline but reserves the right to take any disciplinary action it deems appropriate to the circumstances.

## 5. Notice of Termination

Employees must notify Human Resources of their termination date so that important information concerning various benefit continuation provisions are provided. The last day worked will be the effective employment termination date. Employees who have submitted their notice of resignation or retirement may not use their time off benefits (i.e. vacation, sick, floating holiday, weather days or unused College Holiday) to extend their termination end date. An exit interview should be scheduled with a member of the Human Resources department. Upon termination of employment, all debts payable to the College must be settled; any items on loan (i.e., library books, computer software, etc.) must be returned. ID card, keys and other assigned property must be turned in to the supervisor.

Employees are expected to notify their department for absences and/or tardies in the event they cannot be at work as scheduled. No-Call, No-Show occurs when an employee both fails to report for work at the start of a scheduled work shift and fails to notify the supervisor or designated person of an intention to be absent. Three consecutive working days of No-call, No-show absences for which an employee is unable to provide an acceptable explanation is considered job abandonment and deemed as a voluntary resignation. A supervisor or designee should make reasonable attempts to contact the employee during this three-day period; however, failure to make contact with the employee does not excuse the No-call, No-show absence.

## 6. Changes in Personal Status

Changes in marital status or number of dependents often will affect payroll deductions, insurance coverage, beneficiary designations, and the status of other employee benefits provided by the College. These events are called "[qualifying events](#)" and notification to Human Resources needs to occur within 30 days of the change. Please refer to the Human Resources website to complete the necessary form and also contact the Human Resources department directly for benefit changes due to personal changes. Address and phone number changes are also important. Therefore, it is necessary that employees notify Human Resources of such changes.

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Last revised January 25, 2011

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For [Staff](#)

**Last Reviewed: Mar 17th, 2021**

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Maintained by Human Resources

## Confidentiality

In the course of employment, employees will likely have access to or come in contact with (written, oral, overheard, or electronic) personally identifiable and/or transaction-specific information concerning faculty, staff, students, alumni, donors, and vendors, including information, protected by the Health Insurance Portability and Accountability Act (HIPAA), the Family Educational Rights and Privacy Act (FERPA), social security numbers, dates of birth, credit card numbers negotiated prices for goods and services, operating procedures, as well as other non-public financial and business records of Carleton ("Confidential Information"). Except as permitted by law or College policy, or as necessary to perform the functions of a job, employees may not, either during their employment by Carleton or thereafter, use or disclose Confidential Information without the prior written consent of Carleton College. Employees are to use their best efforts to protect the security and integrity of Confidential Information in accordance with the Carleton's data security policies.



All Confidential Information in the form of spreadsheets, printouts, correspondence, or other highly sensitive reports to be discarded, should be either manually or electronically shredded. Employees are not to access, transfer (email, flash drive, etc.) or download Confidential Information onto personal devices. Employees must safeguard college information used or accessed during remote work and must abide by the Responsible Use of Technology Agreement. Employees should only access college data while using VPN. Furthermore, any documents that an employee creates or receives while performing the functions of their job shall remain the property of Carleton College. The employee will return all such documents to Carleton upon request or the termination of employment and will not retain or distribute copies thereof without expressed permission from Carleton. Violation of this policy may result in disciplinary action up to and including termination.

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For [Faculty](#), [Staff](#), [Students](#)

**Last Reviewed: Dec 1st, 2021**

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Maintained by Human Resources

## Domestic Partners and the College Benefit Program

Domestic partners of eligible faculty and staff members may participate in many of the College's benefit plans. For purposes of this program, a domestic partner is an unrelated partner of either sex whose emotional and financial relationship to the employee is roughly equivalent to that of a spouse. Please contact the Office of Human Resources for further information.

### Tax Issues Related to Non-Qualified Dependents (Domestic Partners)

- **Qualified Dependents vs. Non-Qualified Dependents**. Employees adding dependents to their benefit insurance programs must indicate whether their dependents qualify as internal revenue code (IRC) "eligible dependents" under Section 152.
- **Treatment of Non-Qualified Domestic Partner Dependents** (*State and Federal Tax*). Employees adding coverage for domestic partners who do not meet the IRC Section 152 definition of qualified dependents, will be taxed on the value of the coverage for the dependent coverage. We have determined the fair market value of dependent coverage. The fair market value is different for the number of non-qualified tax dependents enrolled on your plan and the insurance plan selected. We will include this excess value of the non-qualified dependent in your gross income and it will be subject to federal and state withholding and FICA and be reported on your form W-2 at the end of the year. There will be two taxation issues to be addressed.
- **Employer Share of Premium Paid to Insurance Carrier**. The fair market value (FMV) of the coverage provided for the non-qualified domestic partner and/or the partner's children, less any after-tax contributions, is taxable to the employee and subject to federal income tax, social security, and Medicare taxes. The FMV is not subject to retirement. The taxable amounts are to be regularly taxed as part of payroll reporting and reported in employees' paychecks and their annual Forms W-2 Wage and Tax Statements. The FMV captured will represent the actual premium paid by the College to the benefit plans for the coverage selected.
- **Treatment of the Employee Contribution for Non-Qualified Dependents**. The part of the employee contributions for non-qualifying Section 152 dependents cannot be deducted on a pre-tax basis because they are not eligible for the IRC Section 125 treatment. A rate sheet that reflects the correct combination of pre-tax and post-tax amounts, depending upon the plan option for non-qualified domestic partners is available on the Human Resources Web site.

**Last Reviewed: Sep 7th, 2018**

Maintained by Human Resources

## Driving Privileges

### Purpose

In order to protect the well-being of its students, staff, faculty, and the public, and to comply with insurance company requirements, the College will conduct driver's record checks on students and employees who drive vehicles in the course of their jobs. The College has a responsibility to allow only individuals with driving records indicating a pattern of safe driving practices to operate Carleton owned or leased vehicles, golf carts, gators, or personal vehicles driven on behalf of the College.

### Procedure

1. Employees must be presently licensed to drive a vehicle in the United States and receive an "insurable" notice from the College and insurance company and complete an [online training course](#), called Driver Safety Fundamentals, before they may drive a Carleton owned or leased vehicle. Anyone who either wishes or is required as part of his or her job to drive a College owned or leased vehicle must request insurance review by filling out a [waiver](#) allowing the College to review their Motor Vehicle Report. The College uses a point system to review the Motor Vehicle Report (MVR) results over a three year period in addition to any accidents on campus to determine whether a driver will be approved to drive on behalf of the College and be added to the Approved Drivers List. It is the responsibility of the employee to avoid driving a College vehicle or leased vehicle unless they are on the Approved Drivers List. Substitution of a personal vehicle for College business is prohibited. Contact the Risk Manager x4178 if you need assistance accessing the online training program.
2. Supervisors will be notified if an employee is classified as uninsurable with 15 points or more. The supervisor will make a corrective action plan for the employee within five (5) days of their notification. This plan would include immediate suspension of driving privileges until the points could be reduced to 14 or fewer points.
3. Employees required to drive as a part of their employment will have 30 calendar days from the date notified by the supervisor to become insurable by taking the appropriate driving course (defensive driving or alcohol education) to receive credit points to reduce their total points to less than 15 points. During those 30 days the employee may be suspended without pay. If the Risk Manager receives a certificate of course completion within 30 days, the Risk Manager will notify the insurance company of the certificate and will inform the supervisor. Failure to become insurable within the 30 days will likely result in termination from the position.
4. Employees whose driving license has been suspended or revoked by the Department of Motor Vehicles must inform their supervisor of that action within twenty-four (24) hours. Supervisors must then notify the Risk Manager and make the appropriate correction action plan for the employee within 5 days. Vehicles may not be issued to employees whose license is suspended or revoked and substitution of a personal vehicle for College business is prohibited. If an employee fails to report a suspended/revoked license or chooses to drive while in an uninsurable status, disciplinary action will take place up to and including termination.
5. Employees involved in a motor vehicle accident involving Carleton vehicles when on College

property must notify the Security Department immediately and the point result from the accident will be included in the review of the MVR total.

6. Employees receiving traffic citations involving moving violations citations issued by a municipal, county or state law enforcement officer while operating a Carleton owned or leased vehicle must report the citation to their supervisor and the Risk Manager within twenty-four (24) hours.
7. Employees involved in a motor vehicle accident while operating Carleton owned or rental vehicles must call the state police before moving the vehicle. The Carleton Security Department must also be notified immediately.
8. The use of Cell phones (including texting) is prohibited while driving College vehicles or while you are driving on College business.
9. Individuals are encouraged to use a College owned vehicle for business travel by auto. It is important for employees to be aware that when using a personal car for Carleton business use, the employee's personal car insurance carrier provides liability coverage. It is the obligation of the owner of a personal vehicle being used for College business to carry adequate insurance for his or her protection and for the protection of any passengers. In the event of an accident, the employee is responsible for his/her own auto insurance deductible.
10. Supervisors may access the list of [approved drivers](#) to determine whether they can drive on behalf of the College.

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For [Faculty](#), [Staff](#), [Students](#)

**Last Reviewed: Jan 8th, 2021**

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Maintained by Human Resources

## Employee Benefits

For information on the benefits listed below, please click on the link which will direct you to the specific benefit on the Human Resources web site.

[COBRA \(Consolidated Omnibus Budget Reconciliation Act\)](#)

[Dental Coverage](#)

[Employee Assistance Program](#)

[Estate Guidance \(Cignassurance\)](#)

[Flexible Benefits Program](#)

[Health Coverage](#)

[Life Insurance](#) and [Voluntary Group Term Life Insurance](#)

[Long-Term Disability Insurance](#)

[Vision Insurance](#)

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Last revised December 19, 2018

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For [Faculty](#), [Staff](#)

**Last Reviewed: Jan 2nd, 2019**

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Maintained by Human Resources

## **Employee Family Relationships**

In accordance with established College policy, relationship by family or marriage will be neither an advantage nor a hindrance in appointments or promotions. Employment or advancement shall be based on qualifications and experience. When relatives work in the same department or division, employment decisions must be subject to enhanced scrutiny, particularly in the areas of performance evaluations and salary recommendations.

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For [Staff](#)

**Last Reviewed: Jan 6th, 2021**

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Maintained by Human Resources

## **Enrollment in Course of Instruction**

The College will waive tuition charges for benefit eligible staff employees who enroll as special students for one course per academic term at Carleton. The employee must first have Human Resources validate the form indicating benefit eligibility before securing the approval of the Registrar during the first week of the term. The employee should then seek the approval of their supervisor and the course instructor. The supervisor or department head may not be able to grant approval depending on operational requirements, but is urged to do so if at all possible. Course hours are unpaid and missed work time must be made up.

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For [Staff](#)

**Last Reviewed: Dec 1st, 2021**

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Maintained by Human Resources

## **Faculty Development (FDA) and Professional Development Accounts (PDA)**

Each faculty member has a Faculty Development Account (FDA) for receiving professional development funds. Individual account numbers are assigned to each account holder upon receiving his or her first award.

### **Professional Development Funds**

Each member of the Carleton faculty holding a tenured, tenure-track, or PEAR appointment is eligible for an annual Professional Development Account (PDA) of \$2,500. Faculty members on continuing appointments of half-time or more are also eligible for the \$2,500 PDA. These funds are deposited each July into the faculty member's FDA. Faculty members who are on a leave of absence from the College for more than one term should consult with the dean of the college regarding their eligibility for this account. Faculty members who are on sabbatical or professional leave and who meet the conditions identified above will be eligible for this account during the period of their leave.

This account may be used to support a wide range of professional development activities such as:

- attending professional meetings relevant to your field or pedagogy,

- defraying the costs of travel for the purposes of scholarship or research (including transportation, lodging, and meals),
- purchasing books and other scholarly or research materials (such as scores, films, artifacts, software, and recordings),
- dues to professional organizations,
- subscriptions to publications relevant to your field or pedagogy, and
- supporting student research assistants.

The first trip to a professional meeting in each fiscal year must be financed through the PDA.

Charges to the PDA must be made in accordance with Business Office guidelines. Please see the [Business Office Web site](#) for further information or contact Accounts Payable.

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Last revised November 25, 2019

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For [Faculty](#)

**Last Reviewed: Nov 25th, 2019**

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Maintained by Dean of the College Office

## Faculty Entertaining Students Program

Academic departmental budgets receive a special annual allocation to subsidize and encourage faculty-student interaction **outside the classroom** (such as in homes or other appropriate gathering places). These funds are intended to encourage faculty members and departments to think creatively about ways to engage with students outside the classroom in meaningful ways.

Departmental budgets are allocated \$80 per term per faculty member in expense code 5997; the department may choose to commingle these funds/events in whatever way creates the most meaningful event(s) for their student/faculty interactions. If a department exceeds the funds available in account 5997, the overages will be charged against other departmental funds at the end of the fiscal year.

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Last revised June 23, 2014

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For [Faculty](#)

**Last Reviewed: Jan 7th, 2022**

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Maintained by Dean of the College Office

## Federal Social Security and Medicare (FICA)

The College contributes the mandated rate of employee's FICA taxable wages to the Social Security Administration. The employee and employer contribute equally toward the fund according to prescribed laws under the Social Security Act. Social Security benefits are in addition to those provided by the College through the retirement plan and group insurance. For more information regarding Social Security benefits, see the [Social Security Handbook](#)

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Last revised June 15, 2018

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For [Faculty](#), [Staff](#)

**Last Reviewed: Jan 6th, 2021**

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Maintained by Human Resources

## Financial Planning Reimbursement

The College offers its employees numerous opportunities to enhance their ability to make informed decisions regarding financial planning concepts. Such opportunities include a comprehensive financial planning program series, individual counseling sessions with financial planners from the College's retirement plan provider, and a library of relevant resources.

Eligible employees are regular employees who work half-time or more for six continuous years OR are tenured OR have reached the age of 50 with one year of service.

Reimbursements up to \$300 per employee are available. Reimbursements up to \$150 will be available after an eligible employee has attained six continuous years of service or is tenured. An additional \$150 will be available when the employee has reached age 50 for a total reimbursement of \$300. For those employees 50 years or older with one year of service, the total of \$300 is immediately available. The maximum reimbursement(s) for an employee is \$300.

Eligible employees may apply for reimbursement by completing an application and presenting to the Office of Human Resources a paid receipt from the recognized financial adviser for costs associated with long-term financial planning advice. The Office of Human Resources will authorize payment and forward the information to payroll for processing. Costs associated with product transactions should be identified separately and are not eligible for reimbursement under this program. Reimbursement amounts are considered taxable income, will be paid through payroll, and will be shown as "supplemental pay" on the employees' earnings statements.

Retired employees, who have not previously used this benefit, may apply for reimbursement within one year of their retirement date.

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For [Faculty](#), [Staff](#)

**Last Reviewed: Sep 7th, 2018**

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Maintained by Human Resources

## FlexWork Policy

As a residential, liberal arts college, the workplace culture of Carleton is rooted in a shared academic mission, collaboration, providing exceptional service, and continued discourse. This culture depends upon the regular, in-person interactions between staff, faculty, and students and the opportunities for spontaneous discussions, collective input, and relationships across campus.

While these experiences remain vital to retaining our sense of community, Carleton also recognizes that the implementation of FlexWork (flexible work) arrangements can often optimize the needs of the College and our staff while maintaining our workplace culture. Carleton supports FlexWork arrangements that help staff accomplish their work while promoting wellbeing, staff engagement and retention, and the overall sense of personal empowerment. The availability of FlexWork arrangements varies by department, division, and position based on business and operational needs; the approval, denial, or revocation of a FlexWork request is at the College's discretion.

All FlexWork arrangements must be documented using a FlexWork Agreement Form and require the signature of departmental leadership, divisional vice president, and human resources before implementation. The FlexWork policy will be reviewed at the end of the 2021-22 Academic Year and is subject to college wide revision at any point.

**This Policy is based upon the following core principles:**

**FlexWork supports and should not diminish Carleton's collaborative and inclusive culture.** Maintaining Carleton's culture built on in-person connections with students, colleagues, and the broader Carleton community is paramount. Although FlexWork arrangements may be a different way of working, all employees will continue to contribute to a collaborative, inclusive, residential community.

**FlexWork is not suitable for all positions.** While many positions may be amenable to FlexWork arrangements, roles that are primarily student- or customer-facing or are supervisory in nature may not be eligible as those positions require in-person interactions to be most effective. Other jobs can only be performed on campus or during normal business hours.

**FlexWork arrangements fully align with job duties.** FlexWork arrangements must allow employees to fulfill all of the responsibilities of their position without transferring duties to or creating a burden for others.

**FlexWork promotes positive work experiences.** Alternative work arrangements should promote employee engagement, Carleton's ability to recruit and retain top talent, and healthy work-life integration.

**FlexWork arrangements maintain or increase performance results.** Successful FlexWork arrangements will maintain or increase service, quality of work, and productivity standards.

**FlexWork depends on training, technology and supervisor support.** Training, technology and supervisor support are key elements of successful FlexWork arrangements and should be considered while developing a FlexWork agreement.

**FlexWork decisions are equitable.** It is crucial that personal bias and favoritism are removed from all FlexWork decisions and that the process for making decisions about where and when work is done is equitable. All FlexWork requests should be evaluated considering operational needs of the department first. The multi-level review process has been established to help standardize FlexWork arrangements for like positions from different departments or divisions.

**Eligibility for FlexWork:**

- Employees must be able to maintain performance and productivity standards.
- The employee's department must be able to maintain the quality of their services to members of the campus community, visitors, customers, etc.
- A FlexWork Agreement form must be completed, fully executed, and on file in Human Resources before the commencement of a FlexWork arrangement (including those that may have had

previous remote work arrangements).

### **The types of FlexWork Arrangements available include:**

**Flextime (flexible scheduling)** is an arrangement that provides flexibility when establishing an employee's work schedule. Under a flextime agreement, employees are required to work during the department's established standard core hours (i.e. 9:00am to 2:00pm), but may work the remaining hours at any point during the day. Flextime does not reduce the total number of hours worked in a given workweek.

**Job Share** is an arrangement that allows two or more employees to combine and share the responsibilities assigned to their roles, allowing for cross coverage and more individual flexibility. Job sharing does not alter an employee's FTE and only similarly graded roles can be shared.

**Hybrid** is an arrangement that allows eligible staff members who have demonstrated the ability to perform productively to split their time working both on-campus and from a remote location. Hybrid arrangements may be situational, limited to specific time periods (academic breaks, during off-peak periods, etc.) or year-round.

**Remote Work** is an arrangement that allows eligible staff members who have demonstrated the ability to perform productively to work from a remote location. Remote work employees will likely be required to periodically attend meetings or events on campus.

Supervisors are encouraged to work with staff, direct supervisor, and divisional vice presidents to develop effective FlexWork plans that support the functions of the department, division, and College. The Office of Human Resources will partner with departments to coach and guide supervisors as well as eligible staff through the process.

### **General Expectations for FlexWork Arrangements:**

- Employees must comply with all Carleton policies, procedures, and guidelines as well as all applicable city, state, and federal laws. Including, but is not limited to, Family Educational Rights Act (FERPA), Health Insurance Portability and Accountability Act (HIPAA), the Fair Labor Standards Act (FLSA) and Occupational Safety and Health Act (OSHA), Data Privacy and Retention, and Information Technology policies.
- Employees must safeguard college information used or accessed during remote work and abide by the Responsible Use of Technology Agreement. Employees should only access college data while using Carleton's Virtual Private Network (VPN).
- Employees are expected to be fully accessible during their scheduled and approved work hours. This includes attending scheduled virtual meetings and answering phone calls.
- Hourly employees must adhere to required rest and meal breaks, to report their work hours accurately and timely, and to obtain prior approval before working any overtime. All hours worked must be carefully documented to ensure compliance with the Fair Labor Standards Act (FLSA) and overtime regulations.
- This policy is not to be used to address the Americans with Disabilities Act (ADA) or other workplace accommodation requests. All accommodation requests must be sent immediately to Human Resources.
- Off-campus work arrangements are not intended to permit staff to have time to work at other jobs, provide dependent care or care for others during work hours, or run their own businesses.
- Remote employees must perform work in Minnesota or another state where Carleton is established as an employer. Regular international remote work is not allowed.



- Employees are responsible for maintaining a safe work environment and providing ergonomic office furnishings for their off-campus work location at their own expense.
- Out-of-pocket expenses for supplies, equipment, or technology available through the staff employee's department will not normally be reimbursed. Therefore, when considering the implementation of a flexible work arrangement, supervisors must determine in advance, what resources the employee would require to perform their functions off-campus, and confer with Human Resources on whether and how to meet those resource needs, in order to ensure compliance with applicable state and federal regulations covering work-related reimbursement. Supervisors should also consider any other applicable additional costs or liability in remote working from locations other than Carleton's campus when considering the implementation of a flexible work arrangement.
- Carleton assumes no responsibility for liability or damages to an employee's real or personal property resulting from their FlexWork Agreement.
- Workers' compensation coverage is limited to designated work areas and applies only during the employee's agreed-upon work hours. Employees agree to practice the same safety habits they would use if on-campus and to maintain safe conditions while working remotely. Employees must follow normal procedures for reporting illness or injury.
- The efficacy of any approved FlexWork arrangement will be incorporated into the performance appraisal process.
- FlexWork agreements must be reviewed by the supervisor and employee annually.

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Last revised August 12, 2021

For [Staff](#)

**Last Reviewed: Aug 13th, 2021**

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Maintained by Human Resources

## Floating Holidays

### Eligibility

All regular, benefit-eligible employees are eligible to receive up to three floating holidays per year.

### Schedule

<b>Floating Holidays Eligibility and Maximums by Employee Group</b>	<b>Accrual Rate</b>	<b>Total Floating Holidays annual accrual for Full-Time Employee</b>	<b>Maximum Balances for Full-time Employee</b>
<b>Bi-weekly (Non-Exempt, Union)</b>	.0116 per hour paid	3 days	48 hours (6 days)
<b>Monthly (Exempt)</b>	.25 days per month	3 days	6 days

Benefits begin accruing on the first day of employment. Floating holidays are accrued at the end of each pay period based on the employee's current accrual rate, the number of hours worked (excluding over-time) and/or the employee's budgeted FTE. Employees do not accrue floating holiday hours during an unpaid leave or a Paid Parental Leave.

Staff working less than 12 months must use their floating holidays during their paid employment period. Staff positions are budgeted for the appointment period only and therefore there are no funds available for paid leaves outside of the appointment period.

When an employee reaches the maximum balance, their accruals will cease until their balance drops below the maximum. Carry-over maximums are equal to maximum balances.

Bi-weekly employees are to record their floating holiday time utilization using actual time verses rounding to 15 minute increments on their web-time entry electronic timesheet.

Monthly employees must electronically record utilization of floating holidays on the HUB. The Fair Labor Standards Act requires exempt leave reporting in no less than half-day increments. For partial days worked, if an employee misses less than 2 hours of work in a day they do not need to report the time off, if they miss between 2-6 hours in a day they should report half-day of floating holiday, if they miss more than 6 hours they should report a full day of floating holiday (if part-time exempt, prorate based on FTE). Timely reporting of exempt leaves is encouraged, and adjustment to leave balances will not be made due to late reporting.

### **Unpaid leave**

Employees may, with supervisor approval, take the option of unpaid leave in lieu of vacation, sick pay or floating holiday for hours not worked in cases where the employee does not have a substantial amount of leave accrued. This option is intended for absences not covered under FMLA, and should be of limited duration.

If the employee's paycheck is diminished by unpaid leave such that the total is not sufficient for standard benefit deductions, it is the responsibility of the employee to make payment arrangements.

Upon voluntary separation, accrued floating holidays balances will be paid out to the employee.

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Last revised July 16, 2015

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For [Staff](#)

### **Last Reviewed: Oct 29th, 2021**

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Maintained by Human Resources

## **Fraud**

Carleton College does not tolerate fraud. Reports of suspected fraud should be immediately reported to the appropriate supervisor, [Human Resources](#) and/or via the College's [Community Concern Form](#) or [Whistle Blower Hotline](#). Reports will be investigated and corrective action will be taken, including appropriate employee disciplinary action. Reports of fraud in connection with research activities will be investigated, and corrective action will be taken in accordance with the College's policy on [Misconduct in Research](#).

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For [Faculty](#), [Staff](#)

**Last Reviewed: Jan 6th, 2021**

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Maintained by Human Resources

## **Genetic Information Nondiscrimination Act (GINA)**

Title II of the Genetic Information Nondiscrimination Act of 2008 protects applicants and employees from discrimination based on genetic information in hiring, promotion, discharge, pay, fringe benefits, job training, classification, referral and other aspects of employment. GINA also restricts employers' acquisition of genetic information and strictly limits disclosure of genetic information. Genetic information includes information about genetic tests of applicants, employees or their family members; the manifestation of diseases or disorders in family members (family medical history); and requests for or receipt of genetic services by applicants, employees, or their family members. For more information see the [EEOC regulations and guidance](#).

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For [Faculty](#), [Staff](#), [Students](#)

**Last Reviewed: Jan 6th, 2021**

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Maintained by Human Resources

## **Global Travel for Carleton Employees and Students**

Faculty and staff traveling internationally on College business are covered for emergency evacuation assistance through Cultural Insurance Services International ([CISI](#)).

In order for these services to be most effective, record your travel with the [International Travel Record](#). CISI provides medical referrals, evacuation assistance, and a wide range of travel assistance.

Students on rostered Off-Campus programs have emergency assistance, evacuation services and medical benefits. Faculty and staff planning to travel with students outside of Off-Campus programs must notify the Risk Manager (507-222-4178) to insure that their student travel is reported.

Faculty and staff have the option of purchasing additional international insurance on a personal basis by following the steps listed in the Faculty CISI Self Enrollment Checklist.

**Please refer to the [link](#) on the Business Office website for further information.**

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For [Faculty](#), [Staff](#)

**Last Reviewed: Feb 4th, 2021**

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Maintained by Human Resources

## **Headley Travel Fund for Professional Meetings**

The College also supports professional development through the Headley Travel Fund. Faculty who are not eligible for the Professional Development Account (PDA) are able to apply to the Headley Travel Fund to support travel to professional meetings. Faculty eligible for the PDA can apply for supplemental support from the Headley Travel Fund as well. Since the first trip in each fiscal year must be financed through the PDA, faculty who apply for Headley Travel Funds will be asked to submit a list of expenses that have been charged to their PDA. Faculty with large, unencumbered balances in their PDAs will be expected to use their PDA funds to pay for additional travel. [Application forms](#) for the Headley Travel

Fund are available on the dean of the College Web site.

The College will contribute to travel expenses from the Headley Travel Fund, where the trip has been approved in advance, under the following conditions:

- Eligible expenses include: a) a competitively priced airfare for round-trip travel between Minneapolis and the meeting location, and b) competitively priced lodging for up to two nights in residence during one professional meeting each year.
- The faculty applying to this fund may normally expect to receive funding for only one such request a year.
- In general, expenses will not be paid for trips to points less than 100 miles from Northfield.
- For travel by private car, mileage will be paid at the regular College rate for the use of private vehicles, provided this cost does not exceed the cost of round-trip airfare.
- Headley Travel funds are intended for use only where the trip or a portion of it is made specifically and primarily to attend professional society meetings. They are not intended to support attendance at such meetings which is incidental to travel for other purposes, e.g., holiday trips and family vacations.
- Full-time visiting faculty members are eligible for up to \$1,500 per year.

Since the Headley Travel Fund cannot usually accommodate all the members of the faculty who apply for assistance from it, faculty who plan early and avail themselves of special incentive airfares can help to stretch the Headley Fund and allow more of their colleagues to travel. In addition, faculty who have received authorizations for travel funds, but due to a change of plans do not make use of them, are urged to inform the office of the dean of the college immediately of such a cancellation. Prompt notification sometimes makes it possible for a colleague's application to be approved.

Applications for grants from the Headley Travel Fund should be submitted to the office of the dean of the college for approval in advance, and will be considered in the order in which they are received.

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Last revised June 26, 2013

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For [Faculty](#)

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**Last Reviewed: Mar 8th, 2019**

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Maintained by Dean of the College Office

## Holidays & Winter Break

### Holidays

The College observes the following holidays:

- New Year's Day
- Juneteenth
- Fourth of July
- Labor Day
- Thanksgiving Day (Thursday and Friday)
- Christmas Eve Day

- Christmas Day

In addition, the College provides three floating holidays.

When Juneteenth or Fourth of July holiday fall on a Sunday, whenever possible, the following Monday will be observed. If the holiday falls on a Saturday, whenever possible, the preceding Friday will be observed.

Regular, benefit-eligible, non-exempt, employees will be paid holiday pay for every College holiday based on their budgeted FTE. The floating holidays accrue based on hours paid.

## Winter Break

In an effort to provide employees a collective time for rest and renewal, Carleton will plan to observe an annual Winter Break. We will pair winter break days with the December 24, 25, and January 1 holidays to create a break that allows most employees one consecutive week of time off at the end of the calendar year. This collective time off should allow employees an opportunity to fully step away from work.

While we recognize that Carleton's academic calendar means that we will need to plan carefully to be prepared for the start of Winter Term classes and that some work must continue during Winter Break, we believe that having time off during a period when many other institutions are also limiting their operations will provide the most genuine "break" experience.

This time of rest and renewal allows us all to return to campus refreshed and energized for the New Year.

### Additional details

- Generally, the College will assign the Christmas Eve, Christmas, and New Year's Day holidays adjacent to the Winter Break days (foregoing the previous pattern of observing the holiday on a Friday or Monday if the holiday falls on a Saturday or Sunday). Moving forward, when a holiday falls on a weekend, Carleton will observe the holiday on a regular workday (Monday-Friday).
- Although generally intended to create one full week off between December 24 and January 1, the timing and duration of the Winter Break will vary from year to year.
- In future years there may be fewer Winter Break days, or no Winter Break days, because of the changing needs of the College. Winter Break schedules will be communicated annually when holiday schedules are released.
- Winter Break eligibility applies to all benefits eligible staff regularly scheduled to work on the days designated as Winter Break days. Full time employees will be provided 8 hours paid time off for each Winter Break day and prorated by an employee's budgeted FTE.
- Supervisors will have both the responsibility and the authority to determine which staff members will be required to work during the Winter Break. Winter Break will not constitute a College "shutdown", as some operations will be required to ensure continuity of services. The days covered by the Winter Break are not additional holidays, vacation days, or floating holidays and as such are not subject to any type of additional pay. These days are considered a paid College break, and employees who are required to work on these days will be paid at their normal rate of pay with an opportunity to take the additional days at another time prior to the end of the fiscal year. The days are not eligible for carryover into the new fiscal year or payout if a person leaves employment without having used the days.

A new Winter Break Day code was created for time reporting purposes. Eligible employees will receive instruction annually on how to report winter break hours.

**Last Reviewed: Nov 10th, 2021**

Maintained by Human Resources

## Job Postings/Upward Mobility Program

Notices of job vacancies within the College will be posted as dictated by the Division Head and/or Department Head and as part of the Carleton Upward Mobility Program an employee may request to be considered for transfer to fill an opening.

An employee interested in a job change must apply to a posted vacancy through the Human Resources office. The College will fill all vacancies with the best qualified applicant.

This is a guideline and Carleton College reserves the right to vary from it as necessary.

- Job openings will be posted for a minimum of five days. Some regular, continuing openings may not be posted at the discretion of the Division Head and/or Department Head. Temporary jobs of less than ninety days duration may or may not be posted at the discretion of the Division Head and/or Department Head.
- If the pool of Carleton applicants consists of even one candidate who would seem to have qualifications which meet job requirements, that candidate will normally be met with before non-Carleton applicants are interviewed. If the College has identified a strong internal candidate, the posting notice will so state.
- The internal position posting and any external advertising will run concurrently in most instances.
- It is the specific responsibility of the department head or supervisor to review a prospective candidate's qualifications and determine whether or not he or she qualifies within the framework of all minimum requirements of the job (the division head will be asked to participate in this process in most instances and particularly if the decision is difficult or border-line).
- In the interest of departmental morale, it is assumed that, qualifications being satisfactory, a current department member will be given priority of selection over a candidate from another College office or department; this is considered highly important for the maintenance of departmental "esprit de corps".
- When an internal candidate is successful, the person will immediately be notified, and all other candidate(s) will, as soon as possible, be advised regarding the decision and diplomatically told of any qualifications which were lacking in their experience or training. Great care is exercised in carrying out this notification process which is usually performed by the Hiring Supervisor. Notification of all concerned is felt to be absolutely necessary to avoid erroneous impressions, minimize disturbance of morale and allow routine counseling of unsuccessful candidates with regard to qualifications.
- When the responsible supervisor (and division head) come to the conclusion that internal candidate(s) are not qualified or are not clearly as well qualified as external candidates, the proper procedure involves first notifying those internal candidates who are not qualified and then advising those possibly qualified candidates that they will be considered along with external candidates and given priority when qualifications are deemed to be essentially equal.

The following occurrences are typical of problems which may develop with the above procedure:

- An internal candidate may apply late (after five working days), and after outside candidates have been contacted, in which case the Carleton employee will be given careful consideration but, unless obviously possessing the highest qualifications, will have to be considered along with external candidates (this is the case even if the late application may not necessarily be the fault of the internal candidate).
- In the event of need for considerable speed in recruiting either in the interest of maintaining or supporting a major operational requirement or in any similar pressing situation, and it is uncertain that a qualified interested candidate will be available from within the College work force, classified ads may be placed which will actually appear before the posting notice period has elapsed; however, in the event of response to the advertisements, outside applicants may be told that we will be able to discuss possibilities only after internal candidates, if any, are first considered.

### **Philosophy Relative to the Upward Mobility Program**

Guidelines will be followed within the allowances and constraints mentioned above. All of this must be accomplished with full allowance made for unprecedented or untimely developments such as unexpected business trips, vacation, sickness, operational emergencies, and so forth. The details of such developments are to be communicated to all parties involved. Normal practice will always be adhered to within the context of reality, reason, and the sometimes limited ability of the Director of Human Resources to anticipate unusual or difficult recruitment situations.

In summary, then, it should be understood that the underlying and motivating force behind the existence and continuation of the Upward Mobility Program has always been dual in nature. There are definite benefits to be gained by individuals within the community such as the opportunity for advancement, change, new direction, different interests, additional challenges, and so forth, and at the same time there is the advantage which the College accrues concurrently from increased career development and greater utilization of available skills and talent.

In the case of union employees, the Labor Agreement governs.

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Last revised November 1, 2004

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For [Staff](#)

**Last Reviewed: Aug 13th, 2018**

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Maintained by Human Resources

## **Leaves of Absence**

Carleton College will comply with all applicable laws such as FMLA, federal, state, and any applicable regulations. We recognize that situations may arise requiring an employee to request a leave of absence. The leave may be personal, medical, or for military service. Employees will meet with Human Resources to determine the proper designation of the type of leave, its applicable provisions, statutes/regulations and forms, and how the leave is to be monitored. In order to ensure we have up to date information on all these leaves, we prefer to check the governmental websites instead of listing statutes in our handbook. Any accrued sick, vacation or floating holiday hours will be used during a leave of absence (see Sick Leave Eligibility section). The amount of paid leave is calculated based on the employee's budgeted weekly hours. If the absence is due to illness or injury, accumulated sick leave will be paid out according to amount of time indicated by the employee's physician, time off in addition to the physician's request will require the use of employee's accrued vacation and/or floating holiday. College holiday hours will not be paid during a leave of absence. Carleton has zero tolerance for misrepresented requests for leaves or fraudulent acts to receive benefits.

Any unpaid time in lieu of absence accruals will be at the discretion of the supervisor and Human Resources. Employees may, with supervisor approval, take the option of unpaid leave in lieu of vacation or sick pay for hours not worked in cases where the employee does not have a substantial amount of leave accrued. This option is intended for absences not covered under FMLA, and should be of limited duration. Employees do not accrue vacation, sick or floating holiday hours during an unpaid leave or a Paid Parental Leave.

During this leave time, the employee is responsible for paying the employee portion of health care premiums and any other payroll deductions during the period of the leave to ensure continuation of coverage. Arrangements for payments must be made through the Human Resource's office. Employees who are more than two months behind on payments and do not make arrangements with Human Resources risk losing coverage. If the employee is still on leave after a six-month period, COBRA benefits will be offered. Under COBRA the employee is responsible for paying the entire premium (employee and employer portions) on any insured benefit plans in which the employee participates. It is important to make payments on time to prevent loss of coverage. Employees are eligible for a maximum of six (6) months of personal leave with benefit continuation in a rolling five (5) year period. If an employee has exhausted their leave with benefit continuation, they will automatically move to personal leave without benefit continuation.

### **Definitions: Immediate Family/Extended Family**

Immediate family is defined by the College as persons related to the employee as follows: the employee's wife, husband, child, mother, father, mother-in-law, father-in-law, sister, brother, grandchild, domestic partner (same sex or opposite sex partners) or step relations within the definition of immediate family. Extended family is defined as persons related to the employee as follows: grandparent, grandparent-in-law, sister-in-law, brother-in-law, uncle, aunt, cousin, niece, or nephew.

## **1. Personal Leaves of Absence**

A personal leave of absence is an absence from work taken for personal reasons not otherwise covered by the FMLA or other protected leave policies. A Personal Leaves of absence is at the discretion of the supervisor and Human Resources and will generally be for less than six months. A leave beyond six months may be considered if operationally feasible and will not extend beyond twelve months. We will attempt to return an employee to their same or similar position if operationally feasible, however Carleton does reserve the right to fill the vacancy if need be. If the previous position is no longer available, the employee may be considered for other open positions for which they may be qualified for. Any accrued sick, vacation or floating holiday hours will be used during a leave of absence (see Sick Leave Eligibility section). Any employee who does not return to work after a personal leave, as agreed upon, will be considered to have voluntarily resigned their position. Employees are eligible for a maximum of six (6) months of personal leave with benefit continuation in a rolling five (5) year period. If an employee has exhausted their leave with benefit continuation, they will automatically move to personal leave without benefit continuation.

## **2. Family Medical Leave (FMLA)**

The College will grant an employee who has worked at least 12 months (which do not have to be consecutive) for the employer and who have worked at least 1,250 hours during the 12 months immediately before the date FMLA leave begins; a leave can be applied for up to 12 work weeks in a 12-month period rolling backwards. We comply with the Family and Medical Leave Act of 1993.



Employees should give at least 30 days prior notice of need for a FMLA leave. Where the need for a leave is not foreseeable the employee is expected to give as much notice as practical and comply with normal call-in procedures. Supervisors are to inform Human Resources when they have an employee request a leave in excess of three days. When medically necessary, FMLA leave may be taken on an intermittent basis or the employee may work a reduced schedule. Intermittent leave must be certified by a health care provider as necessary and should be scheduled to avoid disruption to the College insofar as is reasonable. Employees will meet with Human Resources to determine the proper designation of the type of leave, its applicable provisions/forms, and how the leave is to be monitored. Human Resources will keep the supervisor informed of the necessary details of the FMLA leave.

In addition, reasonable accommodations for health conditions related to pregnancy or childbirth may be requested following the advice of a licensed health care provider or certified doula. Accommodations will be provided for more frequent restroom, food, and water breaks; seating; and limits on lifting over 20 pounds. The employee and employer shall engage in an interactive process with respect to an employee's request for a reasonable accommodation.

FMLA leave may be applied for the following reasons:

- Incapacity due to pregnancy, prenatal medical care or birth or adoption of a son or daughter. If both parents work for the College, they are entitled to a combined total of 12 weeks' leave in a 12-month period for the birth, adoption, or foster care placement of their child.
- A serious health condition involving the employee who is unable to perform job functions (including Workers' Compensation injuries, if applicable).
- Care of the employee's spouse, son, daughter, parent, or domestic partner who has a serious health condition. If both the mother and father work for the College, both are entitled to take 12 workweeks of leave to care for a seriously ill child.
- To attend to a medical emergency or impending death of the employee's spouse, son, daughter, parent, or domestic partner.
- Eligible employees whose spouse, son, daughter or parent is covered active duty or call to covered active duty status may use their 12-week leave entitlement to address certain qualifying exigencies. Employees may use their 12-week leave entitlement for qualifying exigencies that may include attending certain military events, arranging for alternative childcare, addressing certain financial and legal arrangements, attending certain counseling sessions, and attending post-deployment reintegration briefing.
- A special leave entitlement that permits eligible employees to take up to 26 weeks of leave to care for a covered service member during a single 12-month period. A covered service member is a current member of the Armed Forces, including a member of the National Guard or Reserved, who is undergoing medical treatment, recuperation or therapy, is otherwise in outpatient status, or is otherwise on the temporary disability retired list, for a serious injury or illness\*; or a veteran who was discharged or released under conditions other than dishonorable at any time during the five-year period prior to the first date the eligible employee takes FMLA leave to care for the covered veteran, and who is undergoing medical treatment, recuperation. or therapy for a serious injury or illness. \*The FMLA definitions of "serious injury or illness" for current service members and veterans are distinct from the FMLA definitions of "serious health condition".

### **FMLA Pay**

When FMLA leave is approved, the employee would qualify for the first five days paid (maximum of

five days (40 hours) per rolling 12 month period). Once approved, Human Resources will make the FMLA pay option available through web time entry. The amount of paid leave is calculated based on the non-exempt budgeted weekly hours or the exempt budgeted FTE. Any leave time beyond the first five days requires the use of accrued absences (vacation, sick leave, or floating holiday time) to cover the leave. If leave is for other than self, see sick leave section for the particular family member provisions. If the absence is due to a health condition of the employee (i.e. surgery), accumulated sick leave will be paid out according to amount of time indicated by the employee's physician. Time off in addition to the physician's request will require the use of employee's accrued vacation and/or floating holiday.

FMLA pay does not qualify during a Parental Leave as Carleton has a separate pay benefit for that type of leave. See qualifications of Parental Leave Pay benefit in section 7 of this policy.

### **Continuation of Health, Dental and Life Benefits**

During this leave time, the employee is responsible for paying the employee portion of health care premiums and any other payroll deductions during the period of the leave to ensure continuation of coverage. Arrangements for payments must be made through the Human Resource's office. Employees who are more than two months behind on payments and do not make arrangements with Human Resources risk losing coverage. After the six-month period expires, COBRA benefits will be offered. Under COBRA the employee is responsible for paying the entire premium (employee and employer portions) on any insured benefit plans in which the employee participates. It is important to make payments on time to prevent loss of coverage.

### **FMLA Eligibility Notice/Rights and Responsibilities**

Once Human Resources is notified of a need for a FMLA leave, HR will provide employees within 5 days a notice of their eligibility for their leave or a reason why they are not eligible. At the same time, employees will be provided with a statement of their Rights and Responsibilities, which is part of the Eligibility Notice.

### **FMLA Medical Certification Required**

Employees who request FMLA leave because of their own serious health condition or of a family member's serious health condition must submit a Medical Certification Form (or its equivalent) completed by the health care provider to support the leave request. This form is available from Human Resources. The Medical Certification Form should be returned to Human Resources within 15 calendar days after it is requested, or as soon as possible under the circumstances. If the Medical Certification Form returned to the College is not satisfactory, an employee will be told of the deficiencies in writing and given 7 calendar days to complete the Form. If the medical information is inadequate, designated Human Resources may contact the employee's health provider directly to authenticate or clarify information on the certification. Also, Human Resources may directly contact the employee's health provider, after receiving the employee's permission, to get more complete information regarding the nature of the ailment, the duration of the leave, the need for intermittent leave, etc. The College can request a second or third opinion regarding the employee's condition and treatment (at the College's expense). All employees requesting an extension of any FMLA leave must provide a new Medical Certification (or its equivalent) of the need for continued leave.

A serious health condition is an illness, injury, impairment, or physical or mental condition that involves either an overnight stay in a medical care facility, or continuing treatment by a health care provider for a condition that either prevents the employee from performing the functions of the employee's job, or prevents the qualified family member from participating in school or other daily

activities. Subject to certain conditions, the continuing treatment requirement may be met by a period of incapacity of more than 3 consecutive calendar days combined with at least two visits to a healthcare provider or one visit and a regimen of continuing treatment, or incapacity due to pregnancy, or incapacity due to a chronic condition. Other conditions may meet the definition of continuing treatment.

### **FMLA Designation Notice**

Within 5 business days (unless extenuating circumstances) of having enough information to determine whether the requested leave is FMLA-eligible, the Human Resources will provide a Designation Notice, informing the employee whether or not leave is designated FMLA leave and the amount of leave that will be designated, if known. This designation may be retroactive.

Employees absent on medical leave will be required to provide medical certification of their fitness to return to work. A Fitness for Duty Certification Form is available from Human Resources.

In the sole discretion of the College, any leave that they determine qualifies as FMLA leave may be designated as FMLA leave, regardless of whether all possible obligations are met by the employee. Workers' compensation is also designated as FMLA leave.

### **FMLA Re-certification**

An employee may be asked to re-certify a serious health condition every 30 days (if the employee is absent during that period) for chronic/long-term illness or pregnancy. A re-certification may be requested in less than 30 days if the employee asks for extension of leave; Circumstance have changed; or the College has doubts about the employee's FMLA status (e.g. Mon. /Fri. absences). Employees will be required to have **annual** medical certifications for their own serious health conditions or that of a spouse/family member lasting more than one year, including chronic/lifelong ailments. Employee on a chronic, on-going intermittent leave may require 2 visits to their health care provider per year where self care is allowed by the health care provider (i.e. asthma, migraines, etc.). Employees also must inform the employer if the requested leave is for a reason for which FMLA leave was previously taken or certified.

### **Return to Work after a FMLA Leave**

Employees returning to work from FMLA leave will be returned to the same or an equivalent position as held prior to leave, unless the position has ceased to exist because of business necessity. If the employee does not return to his or her original held position or an equivalent position as soon as he or she is able, the College will consider the employee to have voluntarily resigned. Certain "key employees" may not be eligible to be reinstated to the same or an equivalent position at the conclusion of their FMLA leave. The College will notify such employees of their "key employee" status and the conditions under which they may be reinstated, if applicable.

### **[Text of FMLA Employee Rights and Responsibilities](#)**

## **3. Parental Leave Benefit**

Any regular, benefit-eligible exempt or non-exempt employee who becomes either a birth or adoptive parent and who is the primary caregiver (designated biological or adoptive parent) may receive up to 12 weeks of paid parental leave. The parental leave pay is to be taken in a continuous period between the time of birth/adoption up to the first 12 weeks. A parental leave will run concurrently with any FMLA leave. Maximum amount of paid Parental/FMLA leave will not

exceed 12 weeks. The 12 week leave time for Parental/FMLA Leave will include pregnancy related medical leave and any paid leave used including Carleton's FMLA pay, absent accrual pay and parental leave pay. Employees do not accrue vacation, sick or floating holiday hours during a Paid Parental Leave.

Any regular, benefit-eligible exempt or non-exempt employee who is either a birth or adoptive parent and who is the *secondary caregiver* (spouse or recognized domestic partner of the designated biological or adoptive parent) may receive three weeks of paid parental leave. A secondary caregiver may elect to use up to nine weeks of paid (with applicable absence leave accruals) or unpaid time. If the primary caregiver experiences medical complications prohibiting full care of the newborn child, the secondary caregiver may assume the role of the primary caregiver. Birth or adoption is considered a qualifying life event.

If the primary and secondary caregivers are both Carleton employees, the parental leave granted to the family will be a total 12 weeks and will be shared by the caregivers. If additional leave is applied for beyond the shared 12 weeks, by one or both of the caregivers, it is the supervisor's discretion to approve this additional leave time based on the affect of the operations of the department. Any additional approved leave time would be paid by the employee's absent accruals (vacation or floating holiday time). Sick time would only be used if either authorized by a physician or if the child becomes ill.

To qualify to receive paid parental leave, an employee must have worked continuously at the college as regular benefit-eligible for at least one year. Parental leave is intended as a care-giving/bonding period and is to be taken at the time of birth/adoption. Employees are to meet with Human Resources to inform them of on the type of leave needed (primary or secondary or shared caregivers) and to discuss its applicable provisions and forms. Human Resources will keep the supervisor informed of the necessary details of the leave. The amount of paid leave is calculated based on the non-exempt budgeted weekly hours or the exempt budgeted FTE. In order to add your child to your health insurance plan, it must be done within the "Dependent Special Enrollment Period", a 31-day window from date of birth or adoption. If an employee terminates employment while on a paid parental leave, the pay will cease as of the date of termination.

#### **4. Catastrophic Leave-Sharing Program (CLSP)**

The Catastrophic Leave-Sharing Program gives non-exempt staff a chance to support their co-workers who are experiencing a catastrophic illness or injury. The program allows eligible staff to donate sick leave to a Catastrophic Leave Sharing Pool to be used by other eligible staff members. Catastrophic illness or injury means a physical or mental illness or injury as certified by a licensed physician that will result in the inability of the employee to perform the essential functions of the job, with or without reasonable accommodations, for more than 30 work days on a consecutive or intermittent basis. Contact Human Resources for specifics on donating and receiving from this program. The amount of paid leave is calculated based on the employee's budgeted weekly hours.

#### **5. Funeral Leave**

To assist a staff member in making funeral arrangements and attending the funeral, the following leave provisions are listed below.

Regular, benefit-eligible, exempt or non-exempt staff members are eligible for:

- Up to five days (40 hours) paid funeral leave in the event of the death of a member of the immediate family (wife, husband, child, mother, father, mother-in-law, father-in-law, sister, brother, grandchild, domestic partner or step relations within the immediate family definition).

Staff may request to use up to an additional five days of accrued sick time. Additional vacation or floating holiday time may be requested.

- Up to one day (8 hours) of paid funeral leave in the event of the death of the extended family member (grandparent, grandparent-in-law, sister-in-law, brother-in-law, daughter-in-law, son-in-law, uncle, aunt, cousin, niece, or nephew). Staff may request to use up to an additional two days of accrued sick time. Additional vacation or floating holiday time may be requested.
- Up to one day (8 hours) of paid funeral leave in the event of the death of a co-worker or friend with a limit of four days per rolling year. The OFNR funeral leave code should be used on the time sheet for a co-worker or friend's funeral.

For immediate and extended family there are no restrictions as to the number of occasions this funeral leave may be used.

The amount of paid leave is calculated based on the non-exempt budgeted weekly hours or the exempt budgeted FTE. Employees must notify their immediate supervisor of their need to use this leave and must record the specific type of leave on their time sheet (funeral-immediate family or other). The supervisor's signature on the time sheet constitutes approval for the leave. Questions on eligibility should be directed to Human Resources.

## **6. Military Leave/Uniform Services Employment and Reemployment Rights Act**

Unpaid leave of absence will be granted to those called to military duty as a result of induction, enlistment or Reserve/National Guard duty. The College will comply with all applicable laws regarding the employment and reemployment of such individuals. Those who participate in Reservist or National Guard training will be allowed necessary time off for annual training duty. A special leave entitlement permits an eligible employee to take leave to care for a covered service member who has a serious injury or illness incurred in the line of duty. An employee may also take a leave for a "qualifying exigency" arising out of the fact that the employee's spouse, child, or parent is on active duty or has been notified of an impending call or order to active duty. The employee must notify the supervisor and Human Resources as soon as possible regarding participating in these military service programs.

Please see [Military Leave Policy](#) for more information.

Please see [Uniform Services Employment & Reemployment Rights Act](#) (USERRA) for information on rights of employment and reemployment of active military from leave of absence.

## **7. Bone Marrow Donor Leave**

A leave of absence will be granted to those employees who seek to undergo a medical procedure to donate bone marrow to another person. Employees must notify their immediate supervisor at least two weeks prior to their need to use this leave. The length of the leave shall be determined by the employee, but may not exceed 40 work hours, prorated based on FTE. Time off for this leave will be paid using the "Paid Day Not Worked" pay code. Verification by a physician of the purpose and length of each leave requested by the employee to donate bone marrow will be required. If there is a medical determination that the employee does not qualify as a bone marrow donor, the paid leave of absence granted to the employee prior to that medical determination is not forfeited. Questions on eligibility should be directed to Human Resources.

## **8. Parental Leave to Attend Conferences and Classroom Activities**

The College will grant an employee leave of up to a total of 16 hours each year to attend school

conferences or classroom activities related to the employee's child, if the activities cannot be scheduled during non-work hours. The staff member must provide his or her supervisor with reasonable notice of the leave and make a reasonable effort to schedule the leave so as not to unduly disrupt department operations. A staff member may use accrued vacation, floating holiday, or unpaid time to cover the absence.

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Last revised January 13, 2022

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For [Staff](#)

**Last Reviewed: Jan 13th, 2022**

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Maintained by Human Resources

## Mobile Phones

Carleton College does not provide reimbursement for cell phone coverage or internet connectivity to individual employees.

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Last revised February 19, 2019

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For [Staff](#)

**Last Reviewed: Dec 1st, 2021**

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Maintained by Human Resources

## Moving Expense Reimbursements

Moving expenses for new staff may be provided if deemed appropriate. The amount of approved moving expenses will be confirmed in the letter of employment. All requested reimbursements require adequate documentation with a list of expenses supported by original invoices, receipts, etc. Moving expenses paid by the College will be included as taxable income in accordance with current Internal Revenue Service regulations. Typically, Carleton agrees to reimburse for [reasonable moving expenses](#) as defined by the IRS. Moving expenses should be submitted within six months of your start date or an agreed upon timeline.

[More information regarding moving expenses and how to submit expenses.](#)

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Last revised November 17, 2020

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For [Staff](#)

**Last Reviewed: Nov 17th, 2020**

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Maintained by Human Resources

## Open Enrollment (Renewal Option)

Each year a specific time is designated as the Open Enrollment/Renewal Option Period for Carleton benefit plans. During this time employees will be informed of premium rate and plan design changes and may change from one plan to another. Enrollment in the health care spending account and/or dependent care spending account is done at this time as well. Human Resources will notify employees via e-mail and through the Carleton Weekly of the Open Enrollment Period.

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For [Faculty](#), [Staff](#)

**Last Reviewed: Nov 1st, 2018**

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Maintained by Human Resources

## Outside Employment

The College does not intend to interfere with the private or personal life of employees. The College recognizes that outside work, in modest amounts of time and service, can advance the professional development of an individual and magnify Carleton's contribution to society. However, proper performance of College duties may be hampered by outside employment, defined as working for another employer, being self-employed, or providing consulting arrangements or corporate board services. Regular full-time employees should not take paid employment outside the College which might affect their efficiency on the job at Carleton, constitute a conflict of interest, cause work schedule conflicts, result in the misuse of College resources, and/or otherwise have an adverse affect on the College. Advance approval of the employee's supervisor is necessary when considering outside employment to ensure no conflicts/issues will arise.

A conflict of interest may be defined as any situation in which private outside employment would or could reasonably be perceived to conflict with the best interests of the College or with the employee's performance of his or her College duties. Use of College resources to perform outside work (e.g. supplies, facilities, equipment, staff) may not be charged to or supplied by the College. Only in cases where there is a direct benefit to the College from the work itself (exclusive of the individual performing the work) and only with prior approval would such use be appropriate. A serious breach of this rule, in fact or public appearance, may result in appropriate disciplinary procedures.

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For [Staff](#)

**Last Reviewed: Jan 6th, 2021**

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Maintained by Human Resources

## Parental Leaves (Birth or Adoption) - Faculty

**Unpaid Parental Leave:** Under federal law, all employees are entitled to an unpaid family leave under the Family Medical Leave Act (FMLA) of up to 12 weeks during any twelve month period rolling backwards. If the Family Medical Leave extends beyond three consecutive days the employee will need to provide appropriate medical documentation. While on leave, employees on a Family Medical Leave are entitled to continue to receive health benefits as though working.

**Paid Parental Leave:** In addition to the basic employee rights provided by the FMLA, the college will grant paid parental leaves under the terms given below. Parental leave may be taken any time within 12 months of the birth/adoption of the child, and will count as time in service for salary increases. During all paid parental leaves, the College's contribution to benefits will continue during these 12 weeks for medical, dental, life insurance, and retirement benefits. Appropriate medical documentation will need to be submitted. If the primary and secondary caregivers in a family are both Carleton employees, the 12-week leave to the family can be flexibly shared by the caregivers, in consultation with department heads and chairs. If such leaves involve faculty, the dean of the college should also be consulted.

**Primary Caregiver** is the designated biological or adoptive parent.

**Secondary Caregiver** is the spouse or recognized domestic partner of the designated biological or adoptive parent.

### **Primary Caregiver Benefit:**

Any full-time tenured, tenure-track, PEAR, or continuing faculty member who becomes either a birth or adoptive parent and who is the primary caregiver may receive either: (a) a two-course reduction (equivalent of one term); or (b) a one-course reduction in each of two terms, at full pay, to be taken within one year of birth or adoption of a child. Course releases may be scheduled flexibly and should be in consultation with departments and the dean of the college. Faculty on paid leave will normally be relieved of non-teaching duties. It is anticipated that a portion of these primary caregiver leaves will be replaced, in consultation with departments and the dean of the college.

### **Secondary Caregiver Benefit:**

Any full-time tenured tenure-track, PEAR, or continuing faculty member who is either a birth or adoptive parent and who is the secondary caregiver may elect to receive a one-course reduction receiving two-thirds pay (for the term in which the course reduction occurs) and some short-term reduction in non-teaching duties, in negotiation with the department chair.

Part-time tenured, tenure-track, PEAR, and continuing faculty members may be eligible for one of the benefits described above, though prorated depending upon the terms of their part-time status. Other faculty are not normally eligible for paid parental leave.

### **Delay in Reviews and Tenure**

Faculty who take parental leave prior to tenure may request a delay in the third year review and tenure decision, in consultation with the department/program and the dean of the college.

### **Health Insurance**

Please note that birth or adoption is considered a qualifying life event. In order to add your child to your health insurance plan, it must be done within the "Dependent Special Enrollment Period," a 31-day window from date of birth or adoption.

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Last revised August 27, 2014

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For [Faculty](#)

### **Last Reviewed: Dec 13th, 2021**

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Maintained by Dean of the College Office

## **Pay and Hours**

Employees are entitled to, and Carleton College complies with, all of the rights and remedies set forth under Minnesota Statue 181.172.

### **Fair Labor Standards Act**

All non-exempt employees of the College are subject to the provisions of the Fair Labor Standards Act regarding the payment of minimum wages and premium pay for overtime.

- Non-exempt employees: those covered by the provisions in the Act for minimum wage and entitled to overtime pay for hours worked beyond 40 hours in the work week.
- Exempt employees: those that are paid on a salaried basis are exempt from the provisions of the Act.

Exempt employees are paid monthly. All non-exempt employees are paid biweekly. Human Resources will advise each employee of his or her status when hired or transferred.

### **Work Week/Hours**



The work week, for payroll purposes for non-exempt employees, begins at 12:00 a.m. Sunday morning. Hours of employment are generally from 8:00 a.m. to 5:00 p.m., Monday through Friday unless otherwise specified. The letter of appointment will contain the expected work schedule. Regular and reliable attendance is an essential function of all positions.

Exempt employees are paid a set amount each month to perform duties and responsibilities outlined in their job description and are exempted from overtime requirements. They are expected to observe general business core hours and to work additional hours to meet work requirements when necessary. Exempt employees are expected to keep their supervisors aware of any planned time off and to use their absent accruals for requested time off in either full or half day increments. Monthly employees must electronically record vacation utilization on the HUB. Timely reporting of exempt leaves is encouraged, and adjustment to leave balances will not be made due to late reporting. For partial days worked, if an employee misses less than 2 hours of work in a day they do not need to report the time off, if they miss between 2-6 hours in a day they should report a half-day of vacation. If they miss more than 6 hours they should report a full day of vacation (if part-time exempt, prorate based on FTE).

### **Working Hours**

Schedules are determined at the departmental level and at the discretion of the supervisor and must be communicated to Human Resources.

- Core hours: Predetermined working hours for staff in each department based on the operational needs; typically this is 9:00 a.m. - 2:00 p.m.
- Summer hours option: Monday after Reunion Weekend to Labor Day. "Summer Hours" typically means offices close at 4:30 p.m. This change is designated by the supervisor if operationally feasible for the department and the employees. It does not reduce the number of hours an employee is assigned to work per week. However, it allows employees to start their day early or take a shorter lunch period so they can leave 30 minutes earlier and enjoy the summer. Supervisors set department hours and post the notification.

### **Comp Time**

"Comp time" as defined as taking time off in another pay period in lieu of reporting hours and being paid overtime is not permitted in accordance with the Department of Labor.

### **Rest Periods/Meal Periods**

A paid rest period of 15 minutes is allowed each four-hour work period (excluding lunch periods) for non-exempt employees at a time approved by the supervisor. Unused rest periods will not shorten the scheduled work day. The Flextime program may govern changes in scheduled hours.

Meal periods are different than paid rest period. The College requires those working more than five hours each day to take an unpaid meal period. Unpaid meal periods are typically one hour in length but may not be less than one half hour. Employees required to complete timesheets/web-time entry must record the start and end time of their meal period.

Nursing mothers are provided a separate private space to take reasonable paid breaks as needed to express milk during the twelve months following the birth of the child. The break times must, if possible, run concurrently with any break times already provided so as not to unduly disrupt business operations. Please contact Human Resources for locations, access and room key to the lactation room.

### **Non-exempt Employees - Work Performed Outside of Normal Work Schedules**

Unless authorized by a supervisor to do so, nonexempt employees should not check for, read, send or

respond to work-related e-mails outside their normal work schedules. Non-exempt employees must obtain the authorization of their supervisor or designee prior to performing any work outside of normal work schedules. Authorized non-exempt employees who perform work outside of their regularly scheduled hours for work-related reasons are responsible for accounting for their time and recording it via Web Time Entry the next business day after the work is performed. Supervisors are to ensure work outside the normal work schedule is limited and infrequent. As with other types of work, the time is compensable and will count toward overtime eligibility as required by law. Failure to adhere to this regulation may result in disciplinary action.

## **Overtime**

If, in the judgment of the supervisor, it is necessary for non-exempt employees to work beyond their normal schedule, they will receive pay at one and one-half times their regular rate for all hours worked beyond 40 hours per week. Employees must never work and are not authorized to work overtime without first obtaining the advance approval of their supervisor. "Comp time" which is defined as taking time off in another pay period in lieu of reporting hours and being paid overtime is not permitted in accordance with the Department of Labor. All non-exempt employees must accurately record all hours worked each day. Vacation, floating holiday and sick leave hours are not counted in the calculation to determine overtime pay. College holiday hours are counted in the calculation. The overtime provision does not apply to exempt employees.

## **Payroll Time Sheets/Web-Time Entry**

The Fair Labor Standards Act requires non-exempt employees to accurately record their hours worked each day. At Carleton we use "Web-Time Entry" to achieve this requirement. Since pay is computed on the basis of time recorded, the time sheet/web-time entry must be complete, accurate, and promptly turned in at the end of each payroll period. Time entered must be reported as actual time, not rounded. The time sheet/web-time entry must be signed or approved (electronically if by web-time entry) by the employee, thereby verifying its accuracy. The supervisor must approve all hours, including any overtime hours with a signature/electronic approval. Time sheets/web-time entry is due to the Payroll Office by 12:00 p.m. the Monday following the time sheet/web-time entry work period.

For control purposes for time sheets, the College requires that only an original, green time sheet be submitted for payment if not using web-time entry. Copies, faxes, or Excel-edited versions are not accepted.

Carleton has a policy for dealing with time entry questions. If, through review, the Payroll Specialist questions any portion of an employee time sheet/web-time entry, the Payroll Specialist will contact the employee's supervisor for clarification.

At no time will an employee's time sheet/web-time entry be changed without the direct consent and acknowledgement by the employee or their direct supervisor for worked hours. For hours not worked, such as vacation, holiday, sick leave, overtime, etc. the same procedures will apply to the extent they fall within the policies of the College.

## **Payroll Schedule**

Non-exempt earnings are calculated according to time recorded on time sheets/web-time entry and will ordinarily be distributed to employees every other Friday to cover the two week period completed one week prior to the issuance of payroll. All earnings are reported to employees on a pay advice. Individual earnings are directly deposited in any bank as designated by each employee.

Exempt salaries are calculated through the end of each month. Pay advices reflect the amount directly

deposited to any bank as designated by each monthly paid employee. Payroll is deposited electronically on the last business day of the month.

### **Payroll Deductions**

Payroll deductions made according to law include Social Security Taxes (F.I.C.A.), and state and federal Withholding taxes. Social Security includes retirement, disability, survivor, and dependent benefits. Carleton College matches the F.I.C.A. tax contribution.

Payroll deductions will be made for other authorized benefit programs in which eligible employees choose to enroll with a signed authorization for payroll deduction.

### **Unpaid Leave**

Employees may, with supervisor approval, take the option of unpaid leave in lieu of vacation or sick pay for hours not worked in cases where the employee does not have a substantial amount of leave accrued. This option is intended for absences not covered under FMLA, and should be of limited duration.

Employees do not accrue leave for hours of unpaid leave, and if the employee's paycheck is diminished by unpaid leave such that the total is not sufficient for standard benefit deductions, it is the responsibility of the employee to make payment arrangements.

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Last revised January 13, 2022

For [Staff](#)

**Last Reviewed: Jan 13th, 2022**

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Maintained by Human Resources

## **Payroll Advance for New Tenure-Track Faculty**

When authorized by the Dean of the College office, an incoming tenure-track faculty member may be eligible to receive a one-time cash advance to assist with costs associated with transitioning to Carleton.

The cash advance will be available two months prior to the faculty member's start date for up to 50% of the faculty member's monthly base compensation. The advance must be paid back over a three month period, or by December 31 of the year it is awarded, whichever is earlier. The payment will be processed through Carleton's Accounts Payable department by establishing an employee cash advance. The faculty member must complete a Vendor ACH Bank Authorization form and sign a Payroll Deduction Agreement before the advance will be authorized for payment processing. Both of these forms can be found on the Business Office website [here](#). The advance will be automatically deducted in three installments from the first three pay periods following the faculty member's start date. If the faculty member fails to begin their position with Carleton College or defers their start date, the balance will be immediately due in full.

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Last revised July 26, 2018

For [Faculty](#)

**Last Reviewed: Mar 1st, 2021**

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Maintained by Business Office

## **Personal Appearance**

Business appropriate attire and other aspects of personal appearance including good hygiene reflect the good judgment expected of each employee.

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For [Staff](#)

**Last Reviewed: Mar 23rd, 2021**

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Maintained by Human Resources

## Personnel Practices Review & Procedure

Each regular employee, beyond the initial review period, is guaranteed the right without prejudice to initiate a review of personnel practices which affect their working conditions. The best way to solve a concern is to discuss it openly before it has a chance to grow. Therefore, if an employee should have a specific concern, follow the procedure suggested below:

- First, discuss the concern with the immediate supervisor to see if things can be worked out by just "talking it over."
- If not satisfied, go to the supervisor next in line. The Ombudsperson is another resource.
- If the employee feels the concern is still unresolved, take it to the Director of Human Resources. Employees are encouraged to discuss any work concern freely so the conditions causing dissatisfaction can be understood and solutions sought.
- If the matter cannot be settled on an informal basis, the Director of Human Resources will assist in putting the concern in writing for joint consideration by the Director of Human Resources and the appropriate Division Head. They will review the matter and will reach a decision.

Union staff members have recourse in the procedure outlined in the Labor Agreement which includes steps similar to those outlined above.

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For [Staff](#)

**Last Reviewed: Mar 23rd, 2021**

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Maintained by Human Resources

## Procedures for Additional Compensation

### Procedures for Additional Compensation

Occasionally, a manager may request additional compensation for a staff member who will assume distinct duties and responsibilities, typically for an extended period of time, which fall outside the reasonable expectations of their current role.

Before discussing the additional responsibility with the employee, managers should assess each situation and consult with HR. In some cases, the employee may have capacity in their schedule to take on new tasks without the need for additional compensation. In others, redistributing tasks so that an employee can devote themselves to the new duties may be the best route.

If deemed appropriate, additional pay may be provided in the following situations:

- Interim pay for temporarily assuming the duties of a vacant role. Additional compensation for acting duties should be determined by looking at the following variables:
  - Whether the employee will be assuming full or partial responsibilities of the open position

and the current work load of the open position.

- Whether the employee's normal job duties will be redistributed.
  - The differential between the employee's current salary and the grade of the position in which they are acting.
- Temporary FTE increase for exempt employees with an FTE of less than 1.0 will be considered if additional duties push the employee beyond their regularly scheduled hours.
  - Supplemental pay for additional, temporary increases in responsibility or significant, sustained duties that are separate and clearly beyond the scope of the employee's regular job classification. Additional compensation for supplemental pay should be determined by looking at the following variables:
    - The grade level of the additional duties
    - What percentage of time will the employee be working on higher level duties
    - The differential between the employee's current salary and the grade of the additional duties
  - Project pay for additional, temporary project-related work that requires an employee to work beyond their regular pay duties. Exempt employees may also receive project work if the project substantially increases their workload causing them to work far beyond their regular work hours.
  - One-time assignments. Work of a special or one-time nature, making it impractical or unfeasible to hire a temporary employee. The rate of pay will be determined at the time of the assignment.

The amount of the additional pay can vary widely, depending on the level of the additional tasks and the amount of additional work. If granted, additional compensation shall consist of either (1) a temporary series of payments; or (2) a one-time, lump-sum payment. Additional pay requests should be made using a Position Change Form and require approval from the manager, department head, Human Resources Director, Budget Director, and divisional Vice President.

Any additional compensation award will end when the additional work ends and is not to be treated as a permanent increase to an employee's base salary.

It is important to remember that non-exempt employees must record and be paid for all hours worked. There is no need to request additional compensation for non-exempt employees who work additional hours performing their regular, or similar, duties. Those hours should be recorded on their Web Time Entry and paid through the normal payroll cycle.

Carleton's collaborative environment also provides employees opportunities to sit on various committees, participate in campus events, activities, or groups, perform similar work in another area of the college, etc. Employee engagement in these activities is important and helps form our campus culture, but it is not considered additional work under these procedures.

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Last revised June 15, 2022

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For [Staff](#)

**Last Reviewed: Jun 15th, 2022**

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Maintained by Human Resources

## **Relocation or Travel Expenses**

New faculty may be provided with a relocation allowance or reimbursement for travel expenses. The

amount provided will be included in the faculty member's contract letter. Relocation allowances are included as taxable income in accordance with current Internal Revenue Service regulations.

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Last revised January 4, 2119

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For [Faculty](#)

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**Last Reviewed: Dec 13th, 2021**

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Maintained by Dean of the College Office

## Retirement - regular and phased

Carleton offers the option of phased retirement in addition to regular retirement. Whereas in a regular retirement plan one goes directly from full-time employment to retirement, Carleton's phased retirement provides the option of teaching part-time for a period of one to three years before retiring completely. Full details of the phased retirement plan are described below.

Faculty members who are considering retirement should consult with the dean early in their planning. Faculty members are also encouraged to consult with a financial planner. The College will reimburse qualified employees up to \$300 for costs incurred for financial planning advice provided by a certified financial planner, accountant, attorney or other planning professional. Additional information can be found on the Human Resources Web site.

Faculty members who are between the ages of 60 and 65 at the time of their retirement and who have at least 20 years of service at Carleton College are considered by our medical insurance carrier to be "early retirees" and may choose to continue on the College medical insurance plan until age 65. If they elect to continue their existing coverage, Carleton will pay 50% of the full premium for the faculty member and the faculty members' spouse or domestic partner, if applicable. If the faculty member is over 65 and is carrying medical coverage for a spouse or domestic partner who is under 65, the spouse or domestic partner can elect to continue on their existing plan for up to three years (or until age 65), and Carleton will pay 50% of the premium.

Retired faculty members are encouraged to remain active in their departments and programs and throughout the College as a whole. Retired faculty members retain many privileges, such as library privileges, email account, and others. Information about these privileges can be found on the Dean of the College Web site [here](#).

## Phased Retirement Option

A voluntary Phased Retirement Option is currently offered to eligible faculty members. The option is designed to permit a systematic staffing change period for the College and a reduction in hours of work for faculty members, allowing additional time to plan for full retirement.

**Availability.** The Phased Retirement Option is available to all faculty members who meet the eligibility requirements. The College will, at least in five-year intervals, review the program and the benefits of such a program to determine if the needs of the institution are being fulfilled. The College reserves the right to discontinue the program if institutional needs are not being met. If the College elects to discontinue the program, the faculty will be notified at least two years in advance in order to provide sufficient time for them to plan.

**Eligibility.** Tenured and PEAR faculty members are eligible to participate voluntarily in the Phased Retirement Option after completing 20 years of service at Carleton College. Faculty members electing this option must give the College and their departments advance notice of their intentions by January

prior to the September in which they plan to begin the Phased Retirement Option. When entering into a Phased Retirement Agreement, faculty will indicate a firm date for their full retirement and will agree to resign tenure effective on that date. Upon reaching full retirement, a professor electing this option will be eligible for consideration for promotion to emeritus status.

### **Provisions.**

Faculty members electing the Phased Retirement Option must complete phasing and reach full retirement by age 70. Faculty members electing the Phased Retirement Option will teach part-time for up to three years. The part-time teaching requirement for faculty members electing the Phased Retirement Option will be as follows: Those electing to phase for a period of one year will teach 3 courses; those phasing over two years will teach 5 courses, typically distributed as 3 courses in one year and 2 in the next. Faculty members phasing over three years will teach a total of 7 courses, typically distributed as 3 courses in the first year, and 2 in each of the two subsequent years. The salary paid will equal 70% of the full-time equivalent salary during the first year of the phased period, and 50% of the full-time equivalent salary in each of the second and third years of the phased period. Specific teaching assignments during the phased period will require approval by the departments and programs involved. Sabbatical eligibility will cease at the commencement of the phased option. However, the Professional Development Account will continue. Faculty members will not be required to fulfill committee service or advising duties during their phasing period; however, should a faculty member on phased retirement be in residence all three academic terms of a given academic year and wish to continue these duties, such responsibilities may be negotiated with the Dean. Expectations regarding advising of student comps, participation in junior or continuing faculty reviews, and hiring (for positions other than one's own replacement) should be negotiated with the department/program and the Dean. A retiring faculty member or a faculty member on phased retirement may play the role of consultant in the search for his or her successor. However, he/she should not participate in meetings in which candidates are ranked or voting takes place.

**Benefits.** Faculty members electing the Phased Retirement Option will retain all employee benefits provided by the College. Those related to salary (such as contributions to the Regular Retirement Plan provided by TIAA-CREF) will be based on actual salary paid.

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*Adopted by the Board of Trustees on November 18, 1999.*

*Revised and approved by the Board of Trustees on May 15, 2004.*

*One-year extension approved by the Board of Trustees on May 14, 2011.*

*Revised and approved by the Board of Trustees May 12, 2012.*

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Last revised August 19, 2014

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For [Faculty](#)

**Last Reviewed: Mar 1st, 2022**

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Maintained by Dean of the College Office

## **Retirement Criteria**

Carleton College considers a staff employee to have retired from Carleton if at the time of their departure they have completed at least 15 years of service, are at age 55 or older and are not working full-time at another job. If there was a break in service, the prior years may count towards total years of service for the retirement criteria as long as the position(s) held were benefits-eligible. Retirees retain certain Carleton related privileges including a OneCard, access to the recreation center and library, as well as bookstore and dining discounts.

**Last Reviewed: May 10th, 2022**

Maintained by Human Resources

## Retirement Plan

The College makes Retirement Plan contributions for regular, benefit-eligible employees 21 years of age or older, to the Teachers Insurance and Annuity Association of America-College Retirement Equities Fund (TIAA-CREF) and allows eligible employees to invest discretionary salary reduction contributions in tax deferred annuities and custodial accounts.

The general terms of the Carleton College TIAA-CREF Plan (herein-after sometimes referred to as the "Plan") are as follows. Please contact Human Resources for specific plan information:

## Eligibility

Subject to the provisions set forth hereafter, participation in the Plan shall begin on the first of the month following the first month of employment. If the employment date occurs on the first working day of the month, the benefit becomes effective immediately and shall be based on the following:

An active employee who meets all of the following requirements is required to participate in the Plan and must submit an application to the Office of Human Resources:

1. He or she is ordinarily scheduled to work 1) not less than 20 hours per week or the academic instructional equivalent and not less than 9 months in a pension plan year or 2) not less than 1,000 hours in a pension plan year. Notwithstanding the foregoing, an active employee will be treated as having satisfied this requirement if such employee worked 1,000 hours in the one-year period commencing with the individual's employment date or in any pension plan year.
2. Eligibility of employees in a collective bargaining unit to participate in the Plan shall be subject to negotiations with the representative of that unit. During any period that an employee is covered by the provisions of a collective bargaining agreement between the College and such representative, he or she shall not be eligible for participation in this Plan unless the agreement expressly so provides. For purposes of this section only, such an agreement shall be deemed to continue after its formal expiration during collective bargaining negotiations pending the execution of a new agreement.

Any employee who is participating in a shared appointment and who meets requirements 1 and 2 must participate in the Plan and submit an application to the Office of Human Resources.

For accounting and reporting purposes, the pension plan year shall be the calendar year.

## Plan Contributions

Employees contribute 2% of their salary and the College contributes an additional 10% for a total contribution of 12% of salary to the Retirement Plan. Notwithstanding the preceding, the contribution on behalf of any participant cannot exceed the amounts permitted under IR Code 403(b)(12).

Each participant shall make a contribution of not less than 2 percent of his or her salary to the Plan as follows:

1. Each participant must enter into an agreement with the College to reduce his or her salary by an



amount equal to 2% for purposes of such contribution. Reduced amounts are tax deferred until benefits are paid out.

2. In addition, each participant may, but is not required to do so, enter into an agreement with the College to make additional contributions for the purpose of acquiring additional benefits to reduce his or her annual compensation by a specified dollar amount not in excess of the amount permitted as a reduction under section 403(b) of the Internal Revenue Code. The total does not include the 2% as referred to in 1 above.
3. Participants over the age of 50 may defer an additional \$6,000 unless the further excess amount is expressly permitted by the Code. For participants with 15 years of service or more at Carleton College, an additional catch up contribution of \$3,000 is possible. Please contact human resources for specifics. However, any such contribution may not be in excess of the amount permitted under Section 415 of the Internal Revenue Code.

For purposes of this Article II, "salary" means base salary excluding overtime, bonuses, summer and other supplementary pay. In accordance with IRS Code 401(a) (17), salary taken into account under the plan cannot exceed amounts indexed per IRS Code 415(d)).

## **Leaves of Absence**

During a leave of absence, contributions made by the College and by the individual will be based on the compensation paid to a participant during such time.

## **Contracts**

Each TIAA retirement annuity contract and CREF certificate is for the sole purpose of providing a retirement and/or death benefit and is the property of the individual participant.

## **Spouses' Rights**

Benefits may only be paid for married participants in the Plan under a qualified joint and survivor annuity or qualified pre-retirement survivor annuity meeting the requirements of the Retirement Equity Act of 1984, unless a written waiver of the benefit by the employee and a written consent to the waiver by the spouse is filed with TIAA-CREF. This provision applies to Repurchase, Retirement Benefits, and Death Benefits.

## **Cash Withdrawal**

A participant who has attained age 55 may receive a cash withdrawal as permitted by the funding vehicle. Cash withdrawals may not be received while the participant is employed at Carleton College. Amounts paid to the participant on cash withdrawal shall be in full satisfaction of the participant's, and his or her spouse's, rights to retirement and/or death benefits attributable to such amounts paid out. A participant electing such a cash withdrawal should review tax consequences of the action with a TIAA-CREF representative and/or personal tax adviser prior to the transaction.

## **Annuity Income**

Although annuity income usually begins on the normal retirement date, participants may begin to receive income from the plan at any time, which may be earlier or later than the normal retirement date. However, if a participant is employed by the College on the date when benefits under the plan commence, he or she will cease to be a participant of the plan and no further contributions will be made on his or her behalf.

Retirement benefits must normally begin no later than the calendar year in which the age of 70 1/2 is reached unless still employed by Carleton College. Failure to begin annuity income by the required beginning date may subject a participant to a substantial federal tax penalty. If still employed at Carleton College after age 70 1/2, a participant must begin distributions following termination of employment.

## Effective Date

The effective date of this retirement plan shall be September 1, 1970. The plan is amended and restated as of July 1, 2009.

## Tax Deferred Annuities and Custodial Accounts

### Description

Carleton College offers a Group Supplemental Tax-Deferred Annuity plan in addition to its regular retirement plan. Also for those employees who might prefer to use "403(b)7's" as a means of tax deferral, the College processes 403(b)7 custodial accounts (available in the form of "mutual funds"). Through a properly drawn salary reduction agreement with the College, employees may reduce the portion of compensation which is currently subject to taxes, and contribute that amount toward the purchase of one of these tax-deferred investment options.

There is a limit to the amount of tax-deferred contribution the College can make on an employee's behalf, called the "exclusion allowance." There is an exact computation process which establishes the absolute maximum available to an employee for any given year. The Office of Human Resources will provide instructions for obtaining this important calculation from TIAA-CREF.

### Administration

The vice president and treasurer is authorized to act on behalf of the College in connection with these annuities and custodial accounts and to establish such rules and regulations as deemed appropriate for them.

### Regulatory Requirements

The College's activities shall be limited to those permitted in Labor Department Regulation 25010.3-2(f) such that this program will not be deemed to be a pension plan maintained by the College and will not result in additional reporting obligations for the College.

### Effective Date

The effective date of this program was September 1, 1992.

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Last revised January 25, 2011

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For [Faculty](#), [Staff](#)

**Last Reviewed: Nov 14th, 2018**

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Maintained by Human Resources

## Sabbatical Leaves, Professional Leaves, and Leaves of Absence

Under normal conditions, tenured and tenure-track members of the teaching faculty and full-time faculty in the Department of Physical Education, Athletics, and Recreation in all academic ranks are eligible to

apply for sabbatical leaves on Schedule I or on Schedule II below.

#### Schedule I.

- A. One term at full salary and benefits after nine terms of service at Carleton; or
- B. Two terms at full salary and benefits after eighteen terms of service at Carleton.

#### Schedule II.

- A. One term leave at full salary and benefits after twelve terms of service with one-course release during the twelve terms. Eligibility for a one-course release requires at least six terms of service; or
- B. Two terms leave at full salary and benefits after twenty-four terms of service with two one-course releases during the twenty-four terms. Eligibility for the first one-course release requires at least six terms of service, and the second requires at least fifteen terms of service. The first and second course releases cannot be in the same term.

All faculty members anticipating a sabbatical leave must receive prior approval of the schedule and the precise timing of the leave by the dean and the department chair, after appropriate discussion. Attention will be given to the needs of the department's and College's academic programs.

If a faculty member teaches less than full-time, leave eligibility will be determined according to the above schedules but with salary and benefits prorated to be proportional to his or her full-time equivalent level of service over the period since the last sabbatical leave.

Up to three extra terms taught before a sabbatical leave but not required for eligibility will be carried over and credited toward the next sabbatical. Faculty members who defer their sabbatical leaves at their own choice beyond three terms will lose the accumulated time beyond this maximum. But faculty members who are requested in writing by the College to defer their leaves because of exigencies within the department or College will receive credit toward subsequent leaves for the time that the sabbatical leave is deferred. A faculty member will normally teach six consecutive terms between leaves of absence, including sabbatical leaves.

It is understood that sabbatical leaves may be expanded by additional unpaid leaves of absence on the basis of proper arrangements with the dean and department chair. A leave of absence for more than two consecutive academic years will normally not be approved. Requests for sabbatical leaves to pursue work toward an advanced degree will usually not be considered. Both sabbatical and unpaid leaves are subject to the approval of the Board of Trustees. Sabbatical credit does not accrue while a faculty member is on leave from the College.

Application forms for sabbatical leaves and unpaid leaves of absence are available on the dean of the college Web site.

For faculty on the payroll for at least half-time for the year (including sabbatical pay or internally funded leaves such as Faculty Development Endowment grants), the College will continue to pay its share of fringe benefit costs (with salary-based benefits pro-rated for actual salary paid) throughout the year. If a one-term sabbatical or other internally funded leave is combined with two terms of unpaid leave within a given academic year, the College will continue to pay its share of fringe benefit costs for the salaried term only; the faculty member will be allowed to pay the total benefit costs, if desired, for the terms of leave without pay to continue the benefits. If unpaid leave for more than half of the academic year is supported by an outside grant that does not support payment of faculty benefits, the faculty member should apply to the dean of the college to ask for College assistance with benefits, to be covered by discretionary funds.

Applications for funds from outside sources for assistance during a leave of absence, including applications for fellowships, should be discussed with the dean of the college prior to submission of a formal proposal. The dean of the college and Corporate and Foundation Relations will assist faculty

members in preparing applications or in making special presentations for foundations that may be able to provide financial assistance.

The nature of replacements for those on sabbatical leave will be determined by the department in consultation with relevant interdisciplinary programs and the dean. In the case of one-term sabbatical leaves, departments will normally attempt to make replacements from within.

Full-time continuing faculty who have successfully completed at least one review are eligible for one term of paid professional leave after 14 terms of service. Continuing faculty with less than full-time but at least a half-time appointment, are also eligible for one term of paid professional leave after 14 terms of service, with salary and benefits prorated accordingly. The timing of the leave must be approved by the department chair before a leave application is submitted to the Dean of the College office. If it serves the department for a leave to be delayed or accelerated, the surplus or deficiency of terms taught will be factored into the timing of the subsequent leave.

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*Adopted by the Board of Trustees on June 15, 2000.*

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Last revised January 13, 2020

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For [Faculty](#)

**Last Reviewed: Dec 13th, 2021**

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Maintained by Dean of the College Office

## Salary Payments

Faculty salaries are based on the academic year from September to June, and payments are made in 12 equal installments on the last day of each month beginning on September 30, through a direct deposit in the faculty member's designated bank(s). A faculty member will be advised in writing of any prospective change in salary.

A faculty member on a full-time appointment at Carleton is expected to devote full time to teaching, scholarly activity, and related duties while the College is in session. It is assumed that the faculty member's professional development and contributions to their field will involve occasional off-campus activities such as attendance at professional meetings, lecturing, performing, consulting, or research.

In addition to specified salary payments, the College provides numerous collateral benefits which constitute part of the total compensation of faculty members. Any faculty member at Carleton who normally carries at least a one-half time teaching load for at least two terms of the academic year is eligible for benefits on a prorated basis. If a one-term sabbatical is combined with two terms of unpaid leave within a given academic year, the College will continue to pay its share of fringe benefit costs for the sabbatical term only; the faculty member will be allowed to continue some benefits during terms of leave without pay by paying the total benefit costs. Questions concerning salary payments or collateral benefits may be discussed with the College's Human Resources Office. Changes may occur which would amend, modify, or delete portions of the benefit package at any time. Details of the various benefits plans are available in the College's Office of Human Resources.

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Last revised March 10, 2022

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For [Faculty](#)

**Last Reviewed: Mar 10th, 2022**

Maintained by Dean of the College Office

## Short-Term Medical or Funeral Leaves

A member of the faculty should notify the department chair and the dean of the college of short-term absences up to five days in length due to serious personal circumstances such as a faculty member's acute illness preventing him or her from being able to work or the death of a family member. Regular salary and benefits will continue during such short-term leaves. Arrangements for classes and other responsibilities will be made with the department chair. If it becomes necessary to extend a leave beyond five days in any of these circumstances, further leave benefits may be considered, in negotiation with the department chair and dean of the college.

For [Faculty](#)

**Last Reviewed: Mar 1st, 2022**

Maintained by Dean of the College Office

## Sick Leave

### Eligibility

All regular, benefit-eligible employees are entitled to sick leave with pay. The amount of sick leave is prorated for all staff members working less than full-time or less than 12 months in the year.

### Schedule

<b>Sick Leave Eligibility and Maximums by Employee Group</b>	<b>Accrual Rate</b>	<b>Total Annual Sick Leave Accrual for Full-Time Employee</b>	<b>Maximum Balances for Full-Time Employee</b>
<b>Bi-Weekly (Non-Exempt, Union)</b>	.0462 per hour paid	96 hours (12 days)	No maximum
<b>Monthly (Exempt)</b>	1 day per month	12 days	No maximum

Benefits begin accruing on the first day of employment. Sick leave hours are accrued at the end of each pay period based on the employee's current accrual rate, the number of hours worked (excluding overtime) and/or the employee's budgeted FTE. Employees do not accrue sick hours during an unpaid leave or a Paid Parental Leave.

Upon termination, bi-weekly employees with 15 or more years of service will be paid 20% of their accrued sick leave balance. Monthly employees are not eligible for sick leave payout.

Bi-weekly employees are to record their sick time utilization using actual time verses rounding to 15 minute increments on their web-time entry electronic timesheet.

Monthly employees must electronically record sick leave utilization on the HUB. The Fair Labor Standards Act requires exempt leave reporting in no less than half-day increments. For partial days worked, if an employee misses less than 2 hours of work in a day they do not need to report the time off, if they miss between 2-6 hours in a day they should report a half-day of sick, if they miss more than 6 hours they

should report a full day of sick (if part-time exempt, prorated based on FTE). Timely reporting of exempt leaves is encouraged, and adjustment to leave balances will not be made due to late reporting.

## **Unpaid Leave**

Employees may, with supervisor approval, take the option of unpaid leave in lieu of vacation or sick pay for hours not worked in cases where the employee does not have a substantial amount of leave accrued. This option is intended for absences not covered under FMLA, and should be of limited duration.

If the employee's paycheck is diminished by unpaid leave such that the total is not sufficient for standard benefit deductions, it is the responsibility of the employee to make payment arrangements.

## **Provisions**

Accumulated sick leave may be used for temporary disabilities caused by illness, injury, obtaining a medical diagnosis, treatment, preventative care, pregnancy, and childbirth. Sick leave may also be used for the purpose of "safety leave," defined as providing or receiving assistance because of sexual assault, domestic abuse, or stalking.

A physician's written statement confirming the inability to return to work is required. The College may also request from the employee's physician or other authorized medical authority, evidence of proper recovery from an injury or illness before allowing the employee to resume full or part-time duties or medically restricted work activities. The College reserves the right to have employees examined by a doctor of its choice and to require a second opinion in cases of illness or disability. This policy is to protect both the employee and their co-workers.

## **Medical Appointments**

When it is not possible to schedule a doctor, dentist, or human services appointment for the employee during non-duty hours, time for such appointments may be charged against sick leave accrual for non-exempt staff. Exempt employees scheduling larger time blocked medical appointments should record medical appointments via utilization of sick time in no less than half-day increments.

## **Sick Child**

An employee may use accrued sick leave for absences due to an illness or injury for the employee's child for such reasonable periods as the employee's attendance with the child may be necessary, just as if personally ill. The amount of paid sick leave available is determined by the amount each staff member has accrued. A child is defined as a person younger than 18 years of age or younger than 20 years of age if still attending school.

## **Sick Adult Children, Parents, Spouse, Domestic Partner, Grandparents, Siblings, Mother or Father-in-law, Grandchildren**

An employee may use up to 20 days (160 hours) maximum of accrued sick leave within a 12 month rolling period for illnesses for any combination of adult children, parents, stepparents, grandparents, siblings, spouse or domestic partner, mother or father-in-law, and grandchildren. The right to use sick leave for relatives other than minor aged children applies only for such reasonable periods as the employee's attendance [with the injured or sick person] may be necessary. Absence time used for this purpose must be requested in advance of the time off as practically possible. Sick leave used for this purpose must be approved by an individual's supervisor and Human Resources if FMLA related.

**Last Reviewed: Oct 29th, 2021**

Maintained by Human Resources

## Summer Student Research and Employment

### Student Research Fellowships

During academic breaks, students may receive financial support via a Research Fellowship for the research activity. The purpose of offering financial support during breaks is so that students can afford to further their education by pursuing more in-depth research experiences. The students participating in this research are **Student Research Partners** and are not classified as employees. For further information see [Undergraduate Research at Carleton](#).

### Student Research Assistants

Also during academic breaks, faculty may hire Student Research Assistants. These student workers do not have intellectual ownership of the research product. The tasks they perform assist faculty members, but do not necessarily lead to an increased capacity for the students to conduct independent research.

Student positions that primarily consist of tasks such as glassware washing, caring for animals, proof-reading, locating references or sources, transcribing or coding interviews, and bibliographic editing, without deeply engaging the students in research design, implementation, and interpretation, are primarily for the benefit of the faculty member (and college).

Student Research Assistant positions are classified as Carleton employees and are paid on an hourly basis at a rate of \$11.25/hour, beginning Summer 2020, for actual hours worked and are reported via Student Web Time Entry on The Hub. These positions may be full-time or part-time and students may hold more than one position on campus but should not be scheduled for more than a 40 hour work week between all positions. Student employment positions are compensated at overtime pay for hours worked in excess of 40 hours each week.

**Regular Summer Student Employment** positions on campus also provide meaningful opportunities and resume building experiences. Regular Summer Student Employment positions are paid on an hourly basis at a rate of \$11.25/hour, beginning Summer 2020, for actual hours worked and reported via Student Web Time Entry on The Hub. These positions may be full-time or part-time and students may hold more than one position on campus but should not be scheduled for more than a 40 hour work week between all positions. Students working regular summer student employment positions are compensated at overtime pay for hours worked in excess of 40 hours each week.

### Additional Information

Social Security and Medicare taxes apply to all summer employment positions, current rate is 7.65%. In addition to these taxes, federal and state withholding may apply. Special provisions for International Students may apply depending on tax treaties. All employees are covered by Workers Compensation however; student employees are not benefit eligible. There are no provisions for holiday or vacation pay for student employment positions.

Students who have graduated from Carleton College, are on leave or have withdrawn are not eligible for student employment and must be hired as regular staff through the Carleton Human Resources Office. Please contact [hr@carleton.edu](mailto:hr@carleton.edu) prior to hiring these individuals for additional employment information that will apply.

Questions can be directed to [payroll@carleton.edu](mailto:payroll@carleton.edu) and [studentemployment@carleton.edu](mailto:studentemployment@carleton.edu)

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Last revised May 8, 2020

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For [Faculty](#), [Staff](#), [Students](#)

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**Last Reviewed: May 8th, 2020**

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Maintained by Business Office

## Tuition

### Tuition for Dependents

Carleton College extends tuition benefits to benefit-eligible tenured track, PEAR faculty, faculty on continuing appointments, exempt staff, non-exempt staff and union employees with completion of six years of continuous employment at Carleton. It covers legal children, age 26 years or less as of September 1 in any given year, who attend accredited undergraduate college or universities.

Eligibility to receive the benefit is as follows:

- The employee is a benefit-eligible employee
  - Faculty, Exempt, or Non-Exempt employee assigned to a .46-1.0 FTE position; the benefit is pro-rated for employees who work less than full time (1.0 FTE).
  - Union Employee assigned to a .5-1.0 FTE position; the benefit is pro-rated for employees who work less than full time (1.0 FTE).
- The employee, if hired on or after July 1, 1990, has completed six consecutive years of service and continues to be employed by the college as a regular employee throughout the first full calendar month of each academic term for which the benefit is sought;

Tuition Benefit by employee type:

- **NON-EXEMPT STAFF & UNION EMPLOYEES** are eligible for dependent education benefits if the dependent is accepted as a full-time Carleton College student. The benefit is one-half tuition plus one-half actual board charge.
- **FACULTY AND EXEMPT STAFF** are eligible for dependent tuition benefit as follows:
  - At Carleton the benefit is one-half of Carleton's tuition. At fully accredited colleges and universities other than Carleton, the benefit is the least of:
    - 50% of tuition due,
    - 33% of Carleton's tuition,
    - Tuition due minus tuition-based financial aid; **or**
    - Payment of guaranteed fee and interest on an educational loan equal to 70% of tuition up to 33% of Carleton's tuition while the child is a full-time, undergraduate student not to exceed four regular academic years. The subsidy would continue whenever eligible siblings are full-time, undergraduate students.
  - The benefit will be continued for children of faculty and staff who were eligible at the time of their death, subject to the other conditions on this benefit and financial need.



This benefit does not apply to summer program courses, special programs or other special fees. Receipt of this educational credit would not preclude the possibility of additional student aid from the College if approved under the provisions of the appropriate financial need analysis. The benefit will not exceed four regular academic years per child and a maximum of twelve regular academic years per eligible member of the non-exempt staff. Any child may receive only one benefit under this policy even if both parents fall in the eligible category.

Tuition benefit payments will be made directly to the institution the student attends.

## Tuition for Spouses or Domestic Partners

The College will waive tuition charges for faculty and staff spouses or domestic partners who enroll as special students for one course per academic term at Carleton. All special students register for courses through the Office of the Registrar. Please refer to the Special Student section in the *Academics* section of this handbook.

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Last revised August 31, 2010

For [Faculty](#), [Staff](#)

**Last Reviewed: Jan 18th, 2022**

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Maintained by Human Resources

## Vacation

### Eligibility

All regular, benefit-eligible employees will accrue paid vacation time. The supervisor will review and either approve or deny each vacation request to ensure operational needs are met. There is no waiting period for non-union staff to use allotted vacation days, however, prior supervisor approval is required. The amount of vacation is pro-rated for all staff members working less than full-time or less than 12 months in the year.

### Schedule

	Accrual Rate	Total vacation for full-time employee	Maximum accrual balance	Maximum negative balance allowed for full-time employee
<b>Biweekly (Non-exempt and Union)</b>				
At start of employment or benefit eligibility	.0577 per hour paid	15 days	20 days	40 hours
Upon completion of the 5 <sup>th</sup> year	.0769 per hour paid	20 days	30 days	40 hours
Upon completion of the 10 <sup>th</sup> year	.0885 per hour paid	23 days	40 days	40 hours

<b>Exempt</b>	<b>Accrual Rate</b>	<b>Total vacation for full-time employee</b>	<b>Maximum accrual balance</b>	<b>Maximum negative balance allowed for full-time employee</b>
At start of employment or benefit eligibility	1.67 days per month	20 days	40 days	2 weeks
Upon completion of the 10 <sup>th</sup> year	1.92 days per month	23 days	40 days	2 weeks

Benefits begin accruing on the first day of employment (or upon benefit eligibility). Vacation time is accrued at the end of each pay period based on the employee's current accrual rate, the number of hours worked (excluding over-time) and/or the employee's budgeted FTE. Employees do not accrue vacation hours during an unpaid leave or a Paid Parental Leave.

Staff working less than 12 months must use their vacation during their paid employment period. Staff positions are budgeted for the appointment period only and therefore there are no funds available for paid vacations outside of the appointment period.

When an employee reaches the Maximum Balance, their vacation accruals will cease until their balance drops below the maximum. Carry-over maximums are equal to maximum balances.

Bi-weekly and union employees are to record their vacation time utilization using actual time verses rounding to 15 minute increments on their web-time entry electronic timesheet.

This is meant to be an informative guide for union employees. The CBA should be referenced for all policy questions.

Exempt employees must electronically record vacation utilization on the HUB on a monthly basis. Exempt employees will only accrue vacation time after they have entered their montly utilization (including "no time used"). Adjustments to leave balances will not be made due to late reporting. The Fair Labor Standards Act requires exempt leave reporting in no less than half-day increments. For partial days worked, if an employee misses less than 2 hours of work in a day they do not need to report the time off, if they miss between 2-6 hours in a day they should report a half-day of vacation. If they miss more than 6 hours they should report a full day of vacation (if part-time exempt, prorate based on FTE).

The purpose for allowing employees to use vacation before it is earned (negative balance) is in response to the cyclical work of many offices around campus that may dictate when an employee can use vacation, sometimes before they have earned it. It is not the College's intent for employees to carry a negative balance for an extended period of time, and like other aspects of the vacation policy, supervisor approval is required before an employee can use unearned vacation time.

## **Unpaid Leave**

Employees may, with supervisor approval, take the option of unpaid leave in lieu of vacation or sick pay for hours not worked in cases where the employee does not have a substantial amount of leave accrued. This option is intended for absences not covered under FMLA, and should be of limited duration.

If the employee's paycheck is diminished by unpaid leave such that the total is not sufficient for standard benefit deductions, it is the responsibility of the employee to make payment arrangements.

## **Separation of Employment and Accruals**

Upon voluntary separation, accrued vacation balances will be paid out to the employee.

Any negative vacation balance will be deducted from the employee's final pay check.

## 1. Temporary Extension of Maximum Balance

Carleton's vacation policy provides staff with an opportunity to step away from work for rest and renewal. Taking vacation can be particularly important when workloads are high. However, we recognize that extenuating business circumstances may prevent an employee from taking accrued vacation time, and such circumstances periodically result in an employee reaching the vacation maximum accrual balance. When an employee reaches the maximum accrual balance, their vacation accruals will cease until their balance drops below the maximum. As a result, employees lose vacation accruals.

In response, Carleton will temporarily extend an employee's maximum balance by up to ten days. Such circumstances are rare and will be reviewed and approved by Tuesday Group. Extension, if granted, will include a specific extension period. During that extension period, the employee's maximum accrual balance will increase by the approved number of days (up to ten). At the end of the extension period, the employee's accrual balance will return to the regular maximums and accruals above the maximum will be lost. **It is important to note that the maximum payout balance will not change.**

Supervisors are encouraged to work with employees to find vacation opportunities to avoid balances up to the maximum.

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Last revised June 15, 2022

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For [Staff](#)

**Last Reviewed: Aug 13th, 2021**

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Maintained by Human Resources

## Weather Days

All regular and union benefit-eligible employees are eligible to receive up to two (2) weather days per year (benefit will be prorated by FTE).

See the following chart for information on weather days eligibility and balances:

Weather Days Eligibility and Maximums by Employee Group	Annual Rate	Total Weather Days Annual Allowance for Full-Time Employee	Maximum Balances for Full-time Employee	Maximum Negative Balance Allowed for Full-time Employee
<b>Bi-Weekly</b> (Non-Exempt, Union)	2 days	2 days	2 days	0
<b>Monthly</b> (Exempt)	2 days	2 days	2 days	0

Weather days are deposited annually based on the employee's FTE at time of allocation and are not adjusted throughout the year for changes in FTE.

Employee working less than 12 months must use their weather days during their paid employment

period. Employee positions are budgeted for the appointment period only and therefore there are no funds available for paid leaves outside of the appointment period.

Weather days do not carry over the fiscal year and are not eligible for leave payout at time of separation.

Bi-weekly employees should record their weather day utilization in 15-minute increments on their web-time entry electronic timesheet.

Monthly employees must electronically record utilization of weather days on the HUB in full or half-day increments.

If there is a significant weather event, non-essential employees should inform their supervisor of their decision to utilize a weather day following their standard call-in procedure. If an employee chooses to use a weather day absent of a weather event, they must gain prior approval from their supervisor. Weather days may not be used for non-weather events after an employee has given notice.

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Last revised November 27, 2019

For [Staff](#)

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**Last Reviewed: Aug 16th, 2021**

Maintained by Human Resources

## **Workers' Compensation**

### **Report of Injury**

The College carries workers' compensation insurance to reimburse medical expenses and to continue wages in the event of occupational illness or accident incurred in the course of employment. Staff employees must notify their supervisor (faculty members should notify the Office of Human Resources) of any such injury so an accident investigation can be done to correct the issue if applicable. The employee and supervisor are expected to fill out the [Employee Accident Report form](#) and forward the form to Human Resources. If you are a student worker and have a work-related accident, please fill out this [on-line form](#). If applicable, HR will file the First Report of Injury with the insurance carrier.

Employees have the right to report work-related injuries and illnesses, and are encouraged to do so, from from any retaliation.

### **Workers' Compensation Pay**

Carleton has the philosophy that it is best for the employee to return to work as soon as possible after a work related injury and will make every effort to work with restrictions that are assigned by the physician. At times it is necessary for an employee to be off of work during the healing process and Carleton will abide by the Workers' Comp regulations regarding the payment of wages. The State of Minnesota has a three-day period in which the employee does not receive income through Workers' Compensation. For these first three days following an injury, an employee will use their accrued sick, vacation or floating holidays. If an employee is unable to return to work after three days, the Workers' Compensation agent will issue a check to the employee for all authorized continued loss time. Time off needed for doctor appointments and therapy appointments is to be made outside of the employee's work schedule, if at all possible. If not able to schedule appointments outside the work schedule, then absent accruals would need to be used (sick, vacation, then floating holiday hours). FMLA leave will apply, if applicable, to loss time due to workers' compensation.

During this leave time, the employee is responsible for paying the employee portion of health care premiums and any other payroll deductions during the period of the leave to ensure continuation of coverage. Arrangements for payments must be made through the Human Resource's office. Employees who are more than two months behind on payments and do not make arrangements with Human Resources risk losing coverage. After the six-month period expires, COBRA benefits will be offered. Under COBRA the employee is responsible for paying the entire premium (employee and employer portions) on any insured benefit plans in which the employee participates. It is important to make payments on time to prevent loss of coverage.

### **Workers' Compensation Fraud**

Fraud is when a person deliberately misrepresents or fails to disclose information about an important fact to receive benefits to which he or she is not entitled. Carleton College has zero tolerance for fraud and will actively pursue an offender.

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Last revised November 30, 2010

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For [Faculty](#), [Staff](#)

### **Last Reviewed: Mar 23rd, 2021**

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Academic Regulations & Procedures

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### **Employment & Benefits**

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If you have questions or corrections, please email [campus-handbook.group@carleton.edu](mailto:campus-handbook.group@carleton.edu).

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This page last updated 13 April 2018.

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# Events

## Convocation

Convocation is scheduled each Friday at 10:50 a.m. during the academic year. Supervisors may grant time with pay to any employee who wishes to attend. There are many other activities on campus you may be invited to or wish to attend. While you are welcome to take advantage of these opportunities (with supervisory approval), please also keep in mind the operational needs of your department.

For [Staff](#)

**Last Reviewed: Jan 6th, 2021**

Maintained by Human Resources

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This page last updated 9 July 2012.

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# Faculty Appointments

## Appointment to the Faculty\*

All appointments to the faculty are made by the Board of Trustees, on the recommendation of the President, advised by the Dean of the College and the chair and other members of the appropriate department. Reappointments with tenure are made by the Board of Trustees, upon recommendation of the president and dean of the college according to the procedures stipulated in the **TENURE REVIEWS** section of this *Handbook*.

The College makes full- and part-time faculty appointments and promotions as follows:

- **Tenure-track appointments** to the ranks of professor, associate professor, assistant professor, and instructor.
- Appointments in the Department of **Physical Education, Athletics, and Recreation (PEAR)**, without the possibility of tenure, through a series of renewable contracts to the ranks of professor, associate professor, assistant professor, and instructor.
- **Continuing appointments**, without the possibility of tenure, through a series of renewable contracts to the ranks of senior lecturer, lecturer, and instructor.
- **Visiting faculty appointments**, without the possibility of tenure, normally to the ranks of assistant professor or instructor.
- **Appointments in applied music** in the Department of Music, without the possibility of tenure, to the ranks of senior lecturer, lecturer, and instructor.

Initial appointments are established in the form of a letter from the president or dean, specifically stating title, salary and collateral benefits, length of appointment, responsibilities, and any qualifying conditions or other considerations. The signed return of the letter by the faculty member being appointed will be taken to mean acceptance of the appointment and understanding of all its particulars; the letter thus becomes the contractual instrument.

In extraordinary circumstances, a search can be proposed to hire with tenure. Such searches will seek to hire with tenure a senior faculty member or senior administrator with an advanced degree and academic background. In the case of faculty searches with the potential for hiring with tenure, the search is proposed in advance by the chair of a hiring committee, in consultation with faculty from the relevant department or program and the Faculty Curricular Planning Committee (FCPC). In the case of senior administrator searches with the potential for hiring for tenure, the relevant department and/or program is consulted before an offer is made. In both cases, a provisional offer to hire can be made, but the appointment with tenure is pending until recommended by the Faculty Personnel Committee (FPC) and approved by the Board of Trustees. The FPC will rigorously evaluate evidence from the candidate's prior institution(s), which must demonstrate effectiveness in

teaching, scholarship and/or service, as appropriate, depending on the position. The dossier evaluated by the FPC will include a letter of assessment from the department to which the candidate will be appointed. The FPC votes on whether the materials submitted for review provide sufficient evidence that the candidate warrants tenure. If the vote is favorable, the candidate's dossier is forwarded to the Board of Trustees for consideration. As is customary, an appointment with tenure is made by the Board of Trustees, upon recommendation of the president and dean of the college.

Any appointment or reappointment to the faculty, if it is not with tenure, is either with or without the possibility of tenure and will be so designated in the letter of appointment. A faculty member may be appointed with the possibility of tenure when an appropriate position exists or will become available within the first seven years of his or her employment at Carleton (the first six years in the case of an associate professor). Faculty may also be appointed with the possibility of tenure when the opening of such a position within the required amount of time is a probability but not a certitude. Clear written communication between the Dean, the department chair and the appointee is a requirement for appointments of the latter sort. It must be clear to all that any type of appointment with the possibility of tenure can actually lead to tenure only if a tenure-track position exists or becomes available, and that unforeseen factors such as economic exigency or changes in educational priorities might cause the College to abolish a position expected to be available. All other appointments are made without the possibility of tenure. Faculty so appointed include visiting professors, administrators who are granted faculty status, and those part-time faculty who are ineligible for tenure (as noted in this section and under **Part-Time Faculty**).

Faculty members with tenure are on permanent appointment. Tenured faculty members are required to participate in the Senior Faculty Development Forum (see below) roughly every ten years.

**Tenure-Track** faculty members will normally undergo a formal review (described below) in the third year of their service to determine whether their contracts should be renewed. Those in the sixth year of an appointment will undergo a more intensive review (also described below) in that year to determine whether they should be awarded tenure. In addition, prior to the sixth year review, departmental chairs shall annually review and discuss with faculty members of their departments the latter's performance and professional development. The maximum pre-tenure period is seven years for an instructor or assistant professor and six years for an associate professor. Previous service elsewhere at a faculty rank is normally not recognized in these calculations at Carleton, although at the time of a particular appointment, the president may write into the contract letter recognition of a precise period of previous service.

**Appointments in PEAR** are made in a series of renewable contracts. Since these positions are not tenurable, there is no maximum limit upon the number of years a faculty member may remain in such an appointment. PEAR faculty members at the instructor and assistant professor ranks will have all the rights, privileges and responsibilities ascribed to tenure-track faculty elsewhere in this Handbook. Associate and full professors in PEAR will enjoy the rights (other than tenure) and responsibilities herein ascribed to tenured faculty. Review and promotion procedures for PEAR faculty members are described below.

**Continuing (non-PEAR) appointments** are also made in a series of renewable contracts. Since these positions are not tenurable, there is no maximum limit upon the number of years a faculty member may remain in such an appointment. If a faculty member in a continuing appointment is later granted a tenure-track appointment, his or her years of service in the former are not normally

recognized in calculating the pre-tenure period. Continuing faculty members are not required to advise students, to serve on faculty committees, or to take part in department obligations other than teaching one's assigned courses, unless such duties are designated in the contract. Review and promotion procedures for continuing faculty members are described below.

**Visiting appointments** are normally made for one year or less to fill in for faculty leaves or to bring distinguished visitors to campus. Visiting faculty members are not required to advise students, to serve on faculty committees, or to take part in department obligations other than teaching one's assigned courses, unless such duties are designated in the contract.

**Applied music appointments** are made on a yearly basis. Applied music faculty members are not required to advise students, to serve on faculty committees, or to take part in department obligations other than teaching one's lessons, unless such duties are designated in the contract. Review and promotion procedures for these faculty members are handled by the Department of Music; procedures for reviews can be found on the department's website.

Regulations for voting at faculty meetings and in faculty elections appear in Article II of the [Bylaws of the Carleton College Faculty](#).

Because Carleton is a residential college, faculty members will sometimes be expected to participate in evening and weekend activities. This should not be construed, however, as a directive to live in Northfield. The degree to which faculty members fulfill their professional obligations will be judged independently of their place of residence.

As soon as possible following the adoption of the subsequent year's budget by the College Council, faculty members will be notified in writing of any change in appointment, rank, or salary.

All personnel matters will be kept confidential by the College.

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*Revised and approved by the Board of Trustees on October 25, 2014.*

*Revised and approved by the Carleton faculty on February 1, 2021. Approved by the Board of Trustees on February 6, 2021.*

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Last revised February 6, 2021

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For [Faculty](#)

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**Last Reviewed: Feb 6th, 2021**

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Maintained by Dean of the College Office

## **Appointments and Tenure (Terms of)\***

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[Third-Year Reviews](#)

[Tenure Reviews](#)

[PEAR Reviews](#)

[Continuing Reviews \(non-PEAR\)](#)

[Reappointment and Tenure Appeals](#)

[Disciplinary Procedures](#)

[Procedures for Dealing with Non-disciplinary Incapacities](#)

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[Tenure and Terms of Service](#)

[Promotion of Tenure-Track and PEAR Faculty](#)

[Promotion for Continuing Faculty](#)

[Senior Faculty Development Forum](#)

[Amendment of Regulations Governing Reappointment, Tenure, Appeals and Dismissals](#)

## 1. Preface

### **FACULTY PERSONNEL COMMITTEE**

The faculty committee charged with monitoring faculty reviews is the Faculty Personnel Committee (FPC).

The committee shall consist of five elected tenured members of the faculty, one from the social sciences, one from the natural sciences/mathematics, two from the combined divisions of humanities and arts/literature, and one who has been tenured five years or less at the time of election; and the president and dean of the college, *ex officio*.

The five elected members of the committee shall be elected by the voting faculty and shall serve for three-year terms. Because continuity on the committee is very important, no one should stand for election who plans to interrupt the first two years of the term with a sabbatical leave, leading an off-campus program, etc. No two elected members may be from the same department.

There shall be no alternate members on the Faculty Personnel Committee. If a tenure candidate is from the same department as an elected Faculty Personnel Committee member, that member shall remove him- or herself during the deliberation about the candidate and shall not participate in the voting concerning the candidate. In such a case, if no other elected member of the committee is from the same division as the tenure candidate, the most recently retired Faculty Personnel Committee member from a different department in the candidate's division shall serve as a non-voting consultant to the Faculty Personnel Committee to provide discipline-specific advice.

### **CLOSE PERSONAL RELATIONSHIPS**

In faculty personnel decisions, the College wishes to avoid all possible questions about the propriety of an individual's serving as judge or advocate in situations involving a person with whom he or she has a close personal relationship (e.g., relationship such as spouse or parent). In a small college such as Carleton, personnel decisions may often be complicated by friendships among the parties; this is a difficulty we must live with. But close personal relationships may introduce a conflict of interest, or the potential for or the appearance of conflict of interest, that we must avoid. Therefore, a tenured faculty member who has such a relationship with someone holding an appointment in the non-tenured ranks of his or her own department 1) will not participate in the third-year or tenure reviews of that person, and 2) should discuss with the dean and department chair the appropriate level of participation in other departmental decisions or recommendations on faculty appointments or promotions.

Similarly, a faculty member who has such a relationship with someone holding a PEAR or continuing appointment should not participate in the reviews of that person. Of course, no faculty member should participate in a hiring decision involving someone with whom he or she has a close personal relationship. At the College-wide level, a faculty member should not serve on the Faculty Personnel Committee during the years when someone with whom he or she has a close personal relationship is in a tenure track position in any department in the College.

Close professional relationships (e.g., extensive cooperative work or co-authorship) also may lead to a conflict of interest, but this is impossible to anticipate and specify in advance.

Anyone with questions or concerns about a possible conflict of interest stemming from a close personal or professional relationship should discuss the matter with the chair of the Faculty Affairs Committee or the dean of the college.

## **REVIEW SCHEDULES FOR PART-TIME TENURE-TRACK, PEAR AND CONTINUING FACULTY**

In the case of part-time or joint appointments, since the accumulation of three or six full years of service might take a great deal of time, the dean, the department chair, and the faculty member in question may agree to accelerate the normal schedule of reviews. (cf. **Part-Time Faculty**).

### **"STOPPING THE CLOCK"**

Provisions for delaying the review process during leaves of absences prior to the tenure decision are explained in the section on tenure and terms of service (See **TENURE AND TERMS OF SERVICE**).

## **2. Tenure-Track Third-Year Reviews**

### **PURPOSE**

During the third year of service of a faculty member on a tenure-track appointment, the FPC, the dean and the department conduct a thorough evaluation of the faculty member's work. This evaluation of progress after the first years of service provides the principal evidence used in deciding whether the faculty member should be reappointed and, in addition, provides the candidate with guidelines for priorities and improvements in his or her teaching and scholarly work following the review. A decision to reappoint after three years is not a prejudgment of a later tenure decision. Unless otherwise specified in the contract letter, a tenure-track faculty member hired before completing the Ph.D. or comparable terminal degree must complete all requirements for that degree prior to September 30 of his or her third year of teaching at Carleton. Failure to complete the degree by September 30 of the third year of service will result in cancellation of the review and non-renewal of the faculty member's contract.

### **PROCEDURES**

Since a departmental assessment of a faculty member is generally the most important factor taken into account by the dean and the president, the review process is departmentally based. The departmental assessment is arrived at by the chair and the tenured members of the department; other members of the department and any other members of the faculty may make their views known directly to the dean if they wish. The dean shall be responsible for ensuring that the procedures for evaluation are known to the faculty member before the review begins, are agreed upon by the department, are consistent with the review considerations of the College, and are thoroughly and fairly administered. Tenured members of the department on leave are expected to make prior arrangements with the dean, the department chair and the candidate for participation in the third-year or tenure review.

When a department has fewer than three tenured members (or in other exceptional circumstances), a Special Review Committee will be formed. This committee will function as the tenured members of a department for purposes of personnel evaluation and recommendation. The chair of the committee will conduct annual end-of-year conversations with the candidate. The committee will normally be formed when a faculty member is hired and will normally continue in existence through both the third-year review and the tenure review. The dean of the college will appoint the committee in consultation with the candidate and his or her department chair and with the advice of the Faculty Personnel Committee; the composition of the Special Committee will be reassessed at the end of the third-year review. A Special Committee will consist of at least three tenured members of the faculty, but could have more participants if appropriate.

If a candidate has participated in cross-disciplinary curricular activities, such as a minor, an Area Studies Program, etc., or has team taught with someone outside the candidate's own department, a letter of evaluation may be solicited by the dean of the college from the appropriate person, such as the director of the Area Studies Program or the co-teacher. Appropriate people from whom to solicit such letters will be identified by the dean, in consultation with the candidate, and with the advice and consent of the Faculty Personnel Committee. Such letters will be included in the candidate's dossier when it is sent to the department for review.

In making its assessment the department shall thoroughly review and appraise the quality of the faculty member's teaching. Each department member should gather evidence from:

- a. repeated personal visits to the faculty member's classes (and, if applicable, laboratories, studios, rehearsals, etc.), as agreed upon by the candidate, the dean, and the department before the commencement of the third-year or tenure review. For third-year reviews these visits should normally occur during winter or spring of the candidate's second year of teaching or fall of the candidate's third year of teaching. For tenure reviews these visits should normally occur during fall, winter, or spring of the academic year prior to the tenure review. As soon as is convenient, the individual members of the department should discuss their observations of the faculty member's teaching with him or her and make recommendations if these are warranted;
- b. student evaluation forms supplied by the Dean (see below);
- c. a career prospectus provided by the candidate;
- d. and other sources agreed to by the candidate and the department as may be appropriate.

The tenured members of the department shall read and review the candidate's scholarly writing (or other creative work or research as appropriate to the discipline), published and unpublished.

In addition, the faculty member being evaluated may submit any relevant supporting evidence in his or her own behalf.

The College encourages the involvement of students in its faculty and curricular decisions. Students take part in the hiring process within departments and in the review and evaluation of courses, programs and departments through the departmental curriculum committees, the Education and Curriculum Committee, departmental reviews and other departmental and College-wide committees. All instructors have the right, and are encouraged, to secure student evaluations of their own courses.

In formal reviews for tenure or reappointment, student involvement comes through the use of special student evaluation forms distributed and processed by the dean. For this evaluation, a list of twenty to thirty names of current and recently graduated students is solicited from the faculty member concerned. A second list of names is obtained by the Office of Institutional Research and Assessment through a random sample, with appropriate mechanisms to make the sample broadly representative of the diversity of students who have taken the faculty members' courses. (Any student who has been the subject of a judicial proceeding involving the faculty member being evaluated will be barred from participating in this review at the latter's request.) After showing the covering letter and the evaluation form to the faculty member being evaluated, the dean of the college writes to each student whose name appears on the lists, requesting the student's evaluation of the faculty member. Evaluations from current students are normally sought when students are away from the campus.

After the evaluations have been received, the dean prepares a copy of the letters, deleting the student's name and address and other material in the letter that is not appropriate to the review. The concerned faculty member is then given the opportunity to read the edited letters in a manner approved by the dean's office. At a later date, the faculty member meets with the dean to discuss the letters. The edited letters are also made available to the tenured members of the department and to the Faculty Personnel Committee. Only the dean and the president see the full letter from each student.

Student evaluations provide evidence to assist all participants in the process in making their decision. Used with sensitivity, they ought also to provide valuable assistance to the faculty member in evaluating his or her own teaching.

Once the above evidence has been gathered, tenured members of the department shall meet together to discuss and arrive at a departmental recommendation, basing their deliberations on this evidence and also upon their own knowledge of the candidate. The chair of the department shall then write a letter to the dean summarizing the discussion and communicating the departmental recommendation together with the reasons for that recommendation. A copy of this letter is also to be sent to each tenured member of the department, but it should not be shared with the candidate. In addition, each tenured member shall convey his or her own evaluation of the candidate in a formal letter to the dean, with a copy to every tenured member of the department. No tenured member's letter should be shared with the candidate.

Once a departmental recommendation has been made, the dean, president, and two elected faculty members from the Faculty Personnel Committee review the departmental letters (including those of the individual tenured members), the student letters, and the material submitted by the candidate in his or her own behalf, along with any other materials the dean considers relevant.

The dean meets in strict confidence with the entire Faculty Personnel Committee to summarize and discuss his or her perceptions of the review. After the Faculty Personnel Committee's discussion, the dean and president meet to make a preliminary decision about reappointment.

If the dean and president's preliminary decision differs from the majority recommendation of the department, then the dean and president shall convene a meeting to consult about that decision with the available tenured members of the department.

If the dean and president have made a positive final decision regarding reappointment, the dean shall draft a letter summarizing the review, including the student letters and the department letters. The draft is shared and discussed with the entire Faculty Personnel Committee. The dean then shares the draft with the department or review committee chair. The chair may supply written feedback on the letter within 24 hours, and then the dean will meet with the candidate and department chair to discuss the substance of the dean's letter. The candidate and department chair will have the opportunity to read a copy of the draft letter at least 48 hours prior to their meeting with the dean. During that meeting, they will have the opportunity to suggest revisions to the letter. The dean will send the final version of the letter to the candidate and the chair. The chair will make the letter available to all tenured members of the department or review committee.

If the dean and president have made a negative final decision regarding reappointment, the candidate is informed of that decision in writing by the dean of the college and, if he or she so requests, told in writing the reasons for that decision, within three weeks of requesting such a letter.

### **3. Tenure Reviews**

#### **CONSIDERATIONS**

Carleton is primarily a teaching institution. Thus, demonstrated excellence in teaching is the most important concern in the consideration of a candidate for tenure. At the same time, teaching effectiveness and the quality of a faculty member's interaction with students and colleagues over the long term of a career depend on a commitment to and a capacity for scholarship and continuing intellectual growth. Accordingly, the following will be considered as evidence of such commitment to and promise of sustained intellectual growth: scholarly publications, creative work, presentations at professional meetings, and contributions to the discipline and to the College's intellectual life. Other factors that enter into a decision on tenure include the faculty member's contributions to his or her department, to the College outside the classroom, and to the academic community at large.

Contributions to the tenure decision are made by students, faculty colleagues, outside evaluators, the dean, and the president. A decision to grant tenure remains a matter of



judgment by the relevant individuals at the College, based on their reading of the evidence and projection of the candidate's future performance. The decision is reached after careful attention to the procedures authorized in **PROCEDURES** below.

Variations among the academic disciplines, in the modes both of teaching and scholarship, imply that there be flexibility in the manner of evaluating academic and scholarly performance. Recognizing this, the College strives to develop and implement effective and fair procedures appropriate to the candidate's discipline and/or the candidate's special faculty role, if such should exist. In the letter of appointment or reappointment, a faculty member shall be advised of any special considerations affecting reappointment and the tenure recommendation in his or her particular case.

The College has not fixed a maximum percentage, or quota, of the faculty to be allowed to hold tenured positions.

## **PROCEDURES**

Since a departmental assessment of a faculty member is generally the most important factor taken into account by the dean, the president, and the Faculty Personnel Committee (FPC), the review process is departmentally based. The departmental assessment is arrived at by the chair and the tenured members of the department; other members of the department and any other members of the faculty may make their views known directly to the dean if they wish. The procedures for the tenure review include those in the third-year review process (see above) with several additions.

The tenured members of the department read and review the candidate's scholarly writing, research, or other work appropriate to the discipline in order to evaluate the promise of sustained intellectual growth. In addition, four scholarly reviewers outside the College are asked to appraise the quality of the candidate's scholarly (or other creative) work and, at his or her option, course syllabi and its indication of the potential for a long-term career in teaching and scholarship. Three of these reviewers are chosen by the dean from a list of at least ten agreed upon by the department chair and the faculty member being evaluated. In most cases, potential reviewers who have been involved in the tenure candidate's career in the following ways should not be solicited to review the candidate's scholarly or creative work:

- a. served as the tenure candidate's dissertation advisor,
- b. served on the tenure candidate's dissertation committee,
- c. collaborated closely on a publication or creative work that will be part of the candidate's file,
- d. previously written a letter on behalf of the candidate as part of the candidate's initial application to Carleton College.

The fourth outside reviewer is selected from a list of at least four names prepared by the dean of the college. Names on this list are arrived at by the dean in consultation with one or several acknowledged experts in the candidate's areas of specialization. The list is submitted to the candidate who, with the department chair, may strike the names of individuals included on this list who they believe might not be best able to judge the candidate's work. The dean then selects the reviewer. The reviews, having advisory status, are submitted to the dean and to

the department. The candidate may read the letters with identifying marks omitted.

Once a departmental recommendation concerning tenure has been made, the dean submits the departmental letters, along with the complete file of materials considered by the department, to the Faculty Personnel Committee. The dean may also, at his or her discretion, make available to the committee any other materials in his or her possession relevant to its deliberations. Any such written documents specific to the candidate's case which the dean distributes to the committee will also be shared with the tenured members of the department. The members of the committee, both the elected faculty and the president and the dean, meet in confidence to examine and discuss fully each tenure candidacy. During the deliberations, the committee shall meet with the candidate's department chair or the chair of the candidate's special review committee. The committee may convene a meeting to consult with all available tenured members of the department if it deems such a meeting desirable and appropriate. After further deliberations, if the committee anticipates an advisory recommendation that differs from the majority recommendation of the candidate's department, it shall convene a meeting to consult with all available tenured members of the department. In each case, the committee will make clear why the meeting has been called.

Members of the Faculty Personnel Committee, including the president and the dean of the college, vote formally on the case by a show of hands. The vote taken will be of an advisory nature to the president and the dean, who in turn make recommendations to the Board of Trustees, which is empowered to make the final decision on tenure recommendations.

If the president and dean's decision differs from the majority recommendation of the department, then they shall convene a meeting with all the available tenured members of the department to inform them of that decision. At this meeting, the president and dean will inform the department whether their decision differs from the Faculty Personnel Committee's advisory recommendation. The faculty member under review shall be informed of the final decision in writing by the dean of the college and, if he or she so requests, told in writing the reasons for that decision, within three weeks of requesting such a letter.

Every substantive aspect of the deliberations by the Faculty Personnel Committee, department, and the dean and president on each tenure candidate shall be kept in strict confidence.

#### **4. PEAR Reviews**

Third-Year Reviews for faculty members in the Department of Physical Education, Athletics, and Recreation will follow a format similar to that for tenure-track faculty undergoing third-year review (see Section 2 above) with the following modifications. All senior faculty members in the department participate in the departmental assessment of the candidate undergoing review and will visit classes, practices, and competitions. In addition to the polling outlined above, all graduates and undergraduates who were on the relevant faculty member's varsity team(s) during the review period will be polled.

Sixth-Year Reviews for faculty members in the Department of Physical Education, Athletics, and Recreation will follow a format similar to that for tenure-track faculty undergoing tenure review (see Section 3 above) with the following modifications. All senior faculty members in the department participate in the departmental assessment of the candidate undergoing review and will visit classes, practices, and competitions. In addition to the polling outlined

above, all varsity graduates and undergraduates who were on the relevant faculty member's team(s) during the review period will be polled. The Dean will solicit letters from three external reviewers selected from a list agreed upon by the faculty member and chair of the PEAR department. An extra-departmental letter from a staff member in the Admissions Office will also be solicited. If the dean and the president have made a positive final decision regarding reappointment, the dean will draft a letter summarizing the review, following the procedures spelled out in Section 2 (above). Prior to the sixth year review, departmental chairs shall annually review and discuss with faculty members of their departments the latter's performance and professional development.

Continuing Reviews for faculty members in the Department of Physical Education, Athletics, and Recreation will follow a format similar to that of the sixth-year review (see Section 5 above) with the following modifications. A sub-set of three senior faculty members in the department proposed by the Chair and the faculty member undergoing review participate in the departmental assessment of the candidate. The Dean will solicit letters from two external reviewers. Continuing reviews will normally be conducted in the faculty member's twelfth year, and following that, every ten years following a successful review resulting in reappointment.

## **5. Continuing Reviews (non-PEAR)**

Faculty on continuing contracts undergo reviews conducted primarily by the department in which they are appointed with participation by a member of the FPC and consultation with the Dean. The goal is to assess the faculty member's performance in his or her job based on evaluation of all relevant aspects of that specific position. A plan for conducting the review will be developed along with the candidate, department chair, and the dean. The review will include evaluation of the faculty member's teaching through submission of a prospectus, polling of students and graduates, class visits, course materials, and other materials agreed upon by the candidate, department chair, and dean. The actual decision to reappoint a candidate is made by the Dean based on the outcome of a review, enrollments and college needs and priorities. For continuing faculty members with full-time appointments, reviews will normally occur in the third year, sixth year, twelfth year, and following that, every ten years following a successful review resulting in reappointment.

## **6. Reappointment and Tenure Appeals**

A candidate for reappointment or for tenure, feeling either unjustly treated because a violation of his or her academic freedom or improper discrimination has occurred or unjustly judged because established procedures have not been followed, may lodge an appeal and request a hearing with the Faculty Affairs Committee (FAC). In investigating appeals the FAC will be guided by the standards set forth in the American Association of University Professors' 1940 "Statement of Principles on Academic Freedom and Tenure" with 1970 Interpretive Comments and its 1989 "Statement on Procedural Standards in the Renewal or Nonrenewal of Faculty Appointments."

Insofar as the candidate believes a violation of his or her academic freedom or improper discrimination has occurred and is considering a formal appeal, the FAC:

1. Will receive from the candidate, within thirty days of a negative decision regarding reappointment or tenure unless a time extension is granted by the chair of the FAC, a

written notification that the candidate has met with the dean and the president to hear the reasons for the decision not to recommend reappointment or tenure and that a formal appeal is being considered. The chair of the FAC and the candidate will discuss the candidate's concerns and the chair of the FAC will inform the president and the dean that a formal appeal is being considered. Every substantive aspect of the informal process will be kept in strict confidence. The committee (or its designees, chosen in consultation with the candidate, the dean and the president) will investigate informally the areas of concern. In the informal investigation, the candidate will be permitted to have an advisor, chosen in agreement with the chair of the FAC, from the Carleton faculty. In conducting the informal investigation, the committee (or its designees) will involve the candidate and others as appropriate, such as the tenured members of the candidate's department and the FPC. The committee (or its designees), but not the candidate or the advisor, may also examine any documents in the candidate's dossier reviewed by the FPC, and these will be made available by the dean. The committee (or its designees) will convene a meeting to discuss the results of their investigation with the candidate, the candidate's advisor, the dean and president of the College, and the chair of the FAC. The dean and the president of the College will consult with the chair of the candidate's department and the chair of the FAC prior to finalizing any resolution resulting from the informal investigation. If the matter cannot be settled to the candidate's satisfaction by informal methods:

2. Upon receipt by the Faculty Affairs Committee from the candidate of a written appeal citing the alleged violations, within ninety days of the negative decision unless a time extension is granted by the chair of the FAC, the chair of the FAC will inform the dean and the president that a formal appeal has been received. Before the appeal can proceed the candidate must request and receive a letter of reasons from the dean for the decision not to recommend reappointment or tenure. When this letter is received by the candidate, the committee shall convene a formal hearing on the appeal. Given the current FAC Chairs' role in the informal appeal process, the formal appeal committee will be chaired by the most recent former FAC Chair who is available and eligible (See **FACULTY PERSONNEL COMMITTEE** and **CLOSE PERSONAL RELATONSHIPS**).
3. The formal hearing will follow the procedures recommended in the relevant sections of the AAUP 2015 "Recommended Institutional Regulations on Academic Freedom and Tenure", section 5c, nos.2, 4-7, 9-11, 13-15.

An appeal upheld on the grounds that academic freedom has been violated or improper discrimination has occurred normally leads to a reversal of the original decision. In the event that the president and the dean of the college decide to sustain the original decision, they shall provide to the Committee in writing the reasons for their action, and the committee shall have an opportunity to reply.

Insofar as the candidate believes that he or she has been unjustly judged because established procedures have not been followed and is considering a formal appeal, the Committee:

1. will receive from the candidate, within thirty days of a negative decision regarding the candidate's reappointment or tenure unless a time extension is granted by the chair of the FAC, a written notification that the candidate has met with the dean and the president to hear the reasons for the decision not to recommend reappointment or

tenure and that a formal appeal is being considered, and will investigate the matter with the candidate informally as set forth above. If the matter cannot be settled to the candidate's satisfaction by informal methods:

2. upon receipt by the Faculty Affairs Committee from the candidate of a written appeal citing the alleged violations, within ninety days of the negative decision unless a time extension is granted by the Chair of the FAC, the Chair of the FAC will inform the dean and the president that a formal appeal has been received. Before the appeal can proceed the candidate must request and receive a letter of reasons from the dean for the decision not to recommend reappointment or tenure. When this letter is received by the candidate, the Committee shall convene a private, formal hearing on the appeal. Given the current FAC Chairs' role in the informal appeal process, the formal appeal committee will be chaired by the most recent former FAC Chair who is available and eligible (See **FACULTY PERSONNEL COMMITTEE** and **CLOSE PERSONAL RELATONSHIPS**).
3. The formal hearing will follow the procedures recommended in the AAUP 2015 "Recommended Institutional Regulations on Academic Freedom and Tenure," section 5c, nos. 2, 6-7, 9-11, 13-15. In this hearing, the candidate will be permitted to have an advocate chosen in agreement with the FAC Chair from the Carleton faculty. The advocate, but not the candidate, may examine in strict confidence any documents in the candidate's dossier reviewed by the FPC, and these will be made available by the dean. No party will be represented by legal counsel during the formal hearing.
4. The Faculty Affairs Committee will determine whether the decision was the result of adequate consideration under the relevant standards and procedures of Carleton College (as set forth above), with the understanding that the Committee is not reviewing the merits of the case on substantive grounds. The decision must have been based on:
  - a. consideration of all the evidence provided for above (although the omission of relevant and proper evidence or standards will not be grounds for a reconsideration unless there is a reasonable likelihood that omission of such evidence or standards materially affected the decision);
  - b. consideration which excluded irrelevant and improper evidence, standards, or procedures (although the inadvertent introduction of irrelevant or improper evidence or standards will not be grounds for a reconsideration unless there is a reasonable likelihood that such evidence or standards materially affected the decision); and
  - c. adequate deliberation over the evidence in light of the relevant standards and procedures of the College.
5. The Faculty Affairs Committee will direct reconsideration by the College and, if appropriate, the department when it finds in favor of the appellant. When the Committee finds in favor of the Appellant, it will indicate in what respects the consideration was found to have been inadequate.
6. The Faculty Affairs Committee shall provide copies of its report to the faculty member, the department or departments involved, the president of the College, and the dean of the college.

In all appeals made under the provisions set forth in this section, the burden of proof of the allegations shall rest with the faculty member who lodges the appeal.

## 7. Disciplinary Procedures

Disciplinary action against a faculty member should be primarily concerned with violations of the essential rights, freedoms, and responsibilities of teaching and inquiry. The following shall be adequate causes for disciplinary action: the failure to fulfill academic obligations; the physical interference with members of the academic community exercising their rights of free inquiry and expression; disruption of teaching, research or other legitimate College business; violation of the College's statement on consensual relations; and/or any other unprofessional behavior that renders a faculty member unfit in his or her professional capacity as a Carleton faculty member.

Sexual harassment, sexual assault, and other sexual misconduct, as defined under the Carleton College Policy Against Sexual Misconduct, will also be cause for disciplinary action. Notwithstanding any other provisions of this Handbook, or the AAUP Regulations referenced herein, any report(s) (individually or collectively) that include such allegations against a faculty member will be handled in accordance with the provisions of this paragraph and Carleton's Policy Against Sexual Misconduct, including (but not limited to) provisions regarding determination of responsibility, hearings, sanctioning, and appeals. In any sexual misconduct complaint against a faculty member, a panel of Decision-Makers, one of whom is the Hearing Officer, hears a Formal Complaint that proceeds to a hearing. If the Respondent is a staff member, the panel will consist of the Hearing Officer and two other Decision-Makers who may be Carleton faculty or staff. If the Respondent is a faculty member, the panel will consist of the Hearing Officer and two other Decision-Makers who may be Carleton faculty or staff, but at least one of whom will be a faculty member. These Decision-Makers/Adjudicators will apply a preponderance of the evidence standard in reaching a decision as to responsibility. If any report(s) are determined not to fall under the purview of the Policy Against Sexual Misconduct, including during or following the complaint resolution process, disciplinary action may be taken in accordance with the faculty disciplinary procedures set forth in this Handbook.

The preparation of charges regarding disciplinary action:

1. Any charge that could lead to disciplinary action against a faculty member is a matter of utmost gravity and the decision to press charges must be weighed with a jealous regard for the academic freedom of all parties directly concerned and, indeed, for the entire academic community.
2. All charges regarding disciplinary action against a faculty member who has tenure or whose term appointment has not expired, wherever they may originate, should be prepared by the president of the College or by his or her designated representative and set forth with a proposed sanction in a formal communication to the faculty member being charged. All cases involving a severe sanction (see **SANCTIONS** below) will be heard by the Faculty Judiciary Committee. The president or the designated representative should proceed with all reasonable dispatch in the handling of cases involving possible disciplinary action.
3. If the President or the designated representative thinks that a minor sanction (see **SANCTIONS**, below) should be imposed on a faculty member, that person will notify the faculty member of the reasons for the proposed charges and/or sanction and provide an opportunity for the faculty member to contest the sanction. If a faculty member believes he or she has not been treated fairly, the faculty member may appeal the matter on substantive or procedural grounds to the Faculty Affairs Committee for final

adjudication of the matter.

## **HEARING PROCEDURES:**

1. In hearing a case involving possible severe sanctions, the Faculty Judiciary Committee will follow the procedures set forth for such hearings in the AAUP 2015 "Recommended Institutional Regulations on Academic Freedom and Tenure," section 5 and 6.\* This hearing will deal with the substantive issues of the case and the appropriateness of the proposed sanction. In all such cases the burden of proof shall rest with the College, as stated in 5 (c) 8\* of that document.
2. After all parties have been heard and all relevant evidence has been gathered, the hearing committee shall make explicit its decision with respect to the charges and sanctions brought against the faculty member in a written report to the president. The faculty member shall also be notified in writing of the Faculty Judiciary Committee's findings, and both parties shall be given a transcript of the proceedings on which the Faculty Judiciary Committee's recommendation is based. Should the Faculty Judiciary Committee determine that the sanction proposed by the president in the initial communication of charges brought against a faculty member is inappropriate but that disciplinary action is warranted, it should include in its decision an alternative sanction with a statement of reasons for that recommendation.
3. If the president rejects the decision of the Faculty Judiciary Committee, he or she will state the reasons for doing so, in writing, to both the faculty member and the Faculty Judiciary Committee. The president will provide an opportunity for response before transmitting the case to the Board of Trustees.
4. If the faculty member disagrees with the decision of the Faculty Judiciary Committee the president will, on request of the faculty member, transmit the record of the case to the Board of Trustees.
5. In the event that a disciplinary case is referred to the Board of Trustees by action taken above, the Board's review will be based on the record of the Faculty Judiciary Committee hearing, and the Board will provide opportunity for argument, oral or written or both, by the principals at the hearings or by their representatives. The decision of the Faculty Judiciary Committee will either be sustained or the proceeding returned to the committee with specific objections. The committee will then reconsider the case, taking into account the stated objections and receiving new evidence if necessary. The Board of Trustees will make a final decision only after study of the committee's reconsideration.
6. A faculty member facing disciplinary action shall not be suspended by the president of the College during the proceedings involving him or her unless the continued service of the faculty member poses an immediate and serious danger to the College or any member of the College community. Furthermore, a faculty member facing charges shall have the right to request a suspension of some or all of his or her teaching duties for a reasonable time in order to prepare his or her defense. However it originates, suspension during the hearing procedures shall be with pay.
7. A faculty member found guilty of the charges brought against him or her will be so notified in writing.

## **SANCTIONS**

The following are examples of the range of appropriate sanctions:

Minor Disciplinary Sanctions:

1. Oral reprimand
2. Written reprimand

Severe Disciplinary Sanctions:

1. Suspension without pay for a specified period of time
2. Dismissal

## **COMPOSITION OF THE FACULTY JUDICIARY COMMITTEE**

This committee shall consist of five members of the faculty and five faculty to serve as alternates, each group of five to include at least two women, two men, one non-tenured, one minority (minority to mean African American, Hispanic, Asian, or Native American). All faculty members regardless of other elective or appointive committee positions, with the exception of membership on the Faculty Affairs Committee, are eligible to serve. Selection of the committee is by nomination and election by a majority of those present and voting at the faculty's annual elections meeting. Members shall serve for a term of three years.

The proceedings of all disciplinary procedures will be treated as confidential by the College.

\*AAUP 2015 "Recommended Institutional Regulations on Academic Freedom and Tenure," pp. 79-90. The committee cited in 5 (b) 2 is the Faculty Affairs Committee. The committee cited in 5 (c) is the Faculty Judiciary Committee.

### **8. Procedures for Dealing with Non-disciplinary Incapacities**

It may be necessary for the College to take action against a faculty member who claims normal faculty status but is unable to fulfill professional responsibilities due to such factors as medical incapacity or professional incompetence. Every effort shall be made to find a mutually acceptable resolution of any such allegations. If the College and the faculty member cannot reach agreement, action against the faculty member may be undertaken following the procedures presented in the sections above.

### **9. Grievance Procedure**

The Faculty Affairs Committee will act as a grievance committee in accordance with section 16 of the AAUP "Recommended Institutional Regulations on Academic Freedom and Tenure\*" if any faculty member feels that he or she has cause for grievance in any matter not covered under **DISCIPLINARY PROCEDURES**.

### **10. Termination of Appointments**

Except in the case of appointments for one year or less, a faculty member not on tenure will be notified by October 1 if his or her services are not needed for the following academic year.



Dismissal for cause shall follow the procedures set forth in **REAPPOINTMENT AND TENURE APPEALS** above.

Termination in extraordinary circumstances because of financial exigency shall follow the relevant procedures recommended by the AAUP Redbook, 2015 edition "Recommended Institutional Regulations on Academic Freedom and Tenure," pp. 79-90, especially 4(c), pp. 81-82; also AAUP 1978 "On Institutional Problems Resulting from Financial Exigency: Some Operating Guidelines," pp. 147-148.)

\*AAUP "Recommended Institutional Regulations on Academic Freedom and Tenure 2015 edition, pp. 79-90. The committee cited in 5 (b) 2 is the Faculty Affairs Committee. The committee cited in 5 (c) is the Faculty Judiciary Committee.

## 11. **Tenure and Terms of Service**

1. A tenure-track faculty member whose initial appointment at Carleton is at the rank of professor is normally considered to be on tenure if reappointed after completion of two academic years of service at that rank at Carleton.
2. An associate professor is normally considered to be on tenure if appointed after completion of six academic years of service at Carleton in any rank.
3. An assistant professor is normally considered to be on tenure if appointed after completion of seven academic years of service at Carleton.
4. A faculty member on a tenure track appointment who has not finished all requirements for the terminal degree by September 30 of the second year of teaching at Carleton will have the formal review process delayed for one year.
5. A faculty member on a tenure-track appointment who is granted a year's sabbatical or other professional leave prior to a tenure decision is entitled to a one-year delay in the review process. Similarly, anyone on a tenure-track appointment who takes a year's leave of absence for childbearing or childrearing is entitled to a one-year delay in the review process. Arrangements for a delay based on fewer than three terms or more than three terms of leave are negotiable. All arrangements must be discussed with the dean of the college and the chair of the faculty member's department.
6. Any exceptions to these tenure provisions will be specifically stated in writing in particular cases, following consultation with the department in which the appointment is made.
7. The rights and responsibilities of tenure start at the beginning of the academic year following notification of a positive tenure decision.

## 12. **Promotion of Tenure-Track and PEAR Faculty**

- A. **PROMOTION TO ASSISTANT PROFESSOR** - Instructors are automatically promoted to the rank of assistant professor upon receipt of the Ph.D. (or equivalent degree in certain fields).
- B. **PROMOTION TO ASSOCIATE PROFESSOR** - Assistant professors are recommended by the president and dean to the Board of Trustees for promotion to associate professor to take effect concurrently with their tenure or sixth-year appointment.
- C. **PROMOTION TO FULL PROFESSOR (Tenured faculty)** - Promotion to full professor is a

college-wide recognition of the post-tenure accomplishments of its faculty. Consideration for promotion focuses on a candidate's intellectual engagement and achievement in teaching, scholarship and/or creative work, and service, and on the promise of continuing contributions to the College.

1. By the end of the second year following the granting of tenure, the faculty member will write a biennial report summarizing recent professional activities and plans for future development. A conversation among the candidate, the dean, and the available full professors of the department will follow soon thereafter to ensure good communication about appropriate levels of support for teaching, service, and scholarship. A conversation will also take place among the candidate, the dean, and the available full professors of the department after the submission of the fourth year biennial report. At the end of the sixth year, the candidate will submit an expanded biennial report and a current c.v.
2. During the fall term of the seventh year following the granting of tenure, the available full professors in the candidate's department will read and discuss the candidate's biennial reports and c.v. Full professors in the candidate's department will submit a joint letter reflecting the departmental perspective(s) on the candidate's professional activities after having consulted with the candidate, all tenured faculty in the department and appropriate other faculty.
3. Before making decisions, the dean and the president will review and discuss the biennial reports, the c.v., and the departmental letter with two full-professor members of the Faculty Personnel Committee. If there are unanswered questions or serious reservations concerning the candidate's promotion, then the dean and the president shall convene a meeting to discuss the candidate's case with the two FPC members and all the available full-professor members of the department. If the dean and the president make a positive decision, they will recommend the candidate's promotion to the Board of Trustees.

**NOTE: For faculty tenured in 2014 or after (and those tenured from 2011-2013 who choose this option), the following procedure will apply:**

**C. PROMOTION TO FULL PROFESSOR (Tenured faculty) - Promotion to full professor is a college-wide recognition of the post-tenure accomplishments of its faculty. Consideration for promotion focuses on a candidate's intellectual engagement and achievement in teaching, scholarship and/or creative work, and service, and on the promise of continuing contributions to the College.**

1. **By January 1 of the third year after tenure, the faculty member will write a Post-Tenure Prospectus, and a subsequent First Post-Tenure Meeting will follow as soon as possible thereafter. The Post-Tenure Prospectus should include both reflections on accomplishments (in teaching, research, creative work and service), and plans for the near future. It should include a current c.v. It should speak to the faculty member's research or creative agenda, and should include a basic timeframe that will be followed for pursuing research, writing, and presenting scholarly and/or creative work. The Prospectus will outline expected changes, developments or enhancements to pedagogy, curricular development, etc. It should reflect the nature of the service work done by the candidate for promotion not only within the college and community, but also at the broader level of professional service (such as**

membership or leadership in professional organizations, etc.) Candidates will submit a portfolio of supplemental materials, like syllabi, scholarship, etc.

2. **The First Post-Tenure Meeting should include all full professors in the faculty member's department, or on his/her review committee, and will be called by the dean, who will also be present. During the meeting, the full professors of the department/committee, the dean and the candidate will engage in a discussion of the Post-Tenure prospectus. They will give feedback on the feasibility of the candidate's plans. Together, the candidate, dean and department members should identify additional resources (if any) that are needed to accomplish those plans. Written feedback will be provided to the candidate, the dean and the department in the form of an outline of notes from the meeting taken by the chair of the department (if a full professor) or another full professor designated by the dean. These will not be prescriptive, but will rather serve as a written record of the conversation that was held. All members of that meeting will sign off on the notes to ensure that they adequately and accurately reflect the conversation.**
3. **During the fall term of the seventh year following the granting of tenure the faculty member will normally submit a Prospectus for Promotion to Full Professor. It will follow the same outline as the Post-Tenure Prospectus, but also will include specific reflection on how the candidate has progressed relative to the plans outlined in the Post-Tenure Prospectus and in the subsequent First Post-Tenure Meeting. With their Prospectus for Promotion to Full, candidates will submit a portfolio that includes materials such as syllabi, scholarly publications, creative work, conference papers, etc.**
4. **The full professors in the candidate's department or review committee will meet with the candidate during the Fall of the candidate's seventh year to discuss the Prospectus for Promotion to Full. This meeting is meant to ensure the collaborative and constructive nature of the review process and to discuss the candidate's contribution to the department's overall curriculum. The department will review the candidate's scholarship or creative work so that they will be able to help the FPC contextualize the candidate's scholarly work.**
5. **Following that meeting, the chair of the department (if a full professor) or another full professor designated by the dean, will prepare a letter, signed by all full professors in the department, summarizing the department's views on the Prospectus and dossier, and they will submit that letter to the dean. At the dean's discretion, the candidate and the dean may meet to discuss the candidate's Prospectus.**
6. **Before making decisions, the dean and the president will review and discuss the prospectus and dossier, the c.v., and the departmental letter with two full-professor members of the Faculty Personnel Committee (FPC). If there are fewer than two full professors currently on the FPC, former members of the FPC will be asked to help evaluate the materials, to ensure that there are always at least two faculty representatives involved in this process. If there are unanswered questions or serious reservations concerning the candidate's promotion, then the dean and the president shall convene a meeting to discuss the candidate's case with the two FPC members and all the available full-professor members of the department or review committee. If the dean and the president make a positive decision, they will recommend the candidate's promotion to the Board of Trustees.**

When a department has fewer than two full professors (or in other exceptional circumstances such as joint appointments), a Special Promotion Committee will be formed. This committee will function as full professors of a department for purposes of recommendation for promotion. The committee will normally be formed when a faculty member is awarded tenure. The dean of the college will appoint the committee in consultation with the candidate and his or her department and/or program chair and with the advice of the Faculty Personnel Committee.

**In the event of a decision to delay promotion,** the dean will meet with the candidate and a full professor representing the department (usually the chair) to discuss the reasons for the delay and to formulate a revised plan. The candidate will be reconsidered for promotion the following year or later, as determined by the candidate in consultation with the dean.

**Modification of timing:** The above schema is to be considered normal. In exceptional circumstances, should the candidate, the dean, or the department wish to propose early or late consideration, such a request could be made. The timing for early consideration, for example, would involve the submission of the sixth-year report at the end of the fifth year.

D. PROMOTION TO FULL PROFESSOR (PEAR) - PEAR faculty may be considered for promotion to full professor following the faculty member's first successful review in the rank of associate professor, typically after six years at that rank.

### 13. **Promotion for Continuing Faculty**

Following the successful completion of the faculty member's second review, faculty on continuing contracts holding a PhD may be considered for promotion to Senior Lecturer. Those without a PhD may be considered for promotion to Lecturer following successful completion of the faculty member's second review, and may be considered for promotion to Senior Lecturer following successful completion of their first review at the rank of Lecturer, typically after six years at that rank.

### 14. **Senior Faculty Development Forum**

The Senior Faculty Development Forum is a program intended for faculty who have earned the rank of Full Professor.

According to the College's mission statement, the program of Carleton College is "to provide an exceptional undergraduate liberal arts education." The principal responsibility for achieving that purpose rests with the faculty. In order to be effective educators, faculty members need to grow and develop, as teachers, scholars, and citizens, throughout their careers. Every Carleton faculty member is required to submit a biennial report to the College president and dean of the college, and considerable self-assessment often accompanies the writing of these reports. Faculty undergoing formal third-year and tenure reviews write an extended Prospectus. Beyond that, for faculty members on tenure, the College has in place two programs, one that leads to promotion to Full Professor (described in **PROMOTION OF TENURE-TRACK AND PEAR FACULTY**) and the Senior Faculty Development Forum.

The Senior Faculty Development Forum provides a regular opportunity for faculty who are Full Professors to reflect on teaching, scholarship, creative and service activities and to plan a course of professional development for the future in an atmosphere of collegial and

institutional support. During a long career, senior faculty will all have important questions about a variety of issues related to scholarly, creative and teaching work and about how this work relates to the larger field of study. The Forum places its emphasis on allowing senior faculty to pursue these questions through a combination of discussions on campus and sustained, intentional interaction with colleagues from outside of the College. Because a professor should have the freedom to determine the direction and nature of personal scholarship and creative endeavors, this process of reflection on the direction of one's career is self-directed, incorporates the benefits of the outside reviewers' role and provides a sense of structure.

The Forum includes self-assessment, conversations with disciplinary colleagues outside the College, and a report to the dean of the college and president (in lieu of the biennial report). The Senior Faculty Development Forum is managed by the coordinator of the Perlman Center for Learning and Teaching who will provide advice and assistance to individual faculty.

The Senior Faculty Development Forum consists of the following steps:

- The professor selects two to three colleagues from outside of the College. These could be faculty from other institutions, former students, or people from related professions. These colleagues would receive a small stipend for their efforts from the dean of the college office.
- The professor prepares a short version of a career prospectus (much shorter than is required for third-year review and tenure) posing specific questions about scholarly and creative work, teaching and service, and the arc of one's career to the outside colleagues. This should be both retrospective, and prospective, outlining plans for new projects and areas for development. It might include suggestions of ways the College could provide assistance. A current C.V. and a work sample, if appropriate, would be included in the materials sent to outside colleagues.
- These outside colleagues would respond either with a letter or with sustained conversations with the professor.
- In lieu of the biennial report, the professor would summarize the experience in the senior faculty development forum at the end of the year, identifying what had been gained. This summary would be submitted to the dean of the college and the president.
- Faculty members participating in the forum would meet as a group two to three times during the year at sessions conducted by the coordinator of the Perlman Center for Learning and Teaching. These sessions would be designed to facilitate this process of professional reflection and encourage the exchange of ideas among senior faculty.

Under normal circumstances, all tenure-track and PEAR faculty would be expected to participate in the Senior Faculty Development Forum at intervals of seven to ten years after promotion to Full Professor. There is considerable flexibility in the scheduling that allows for individual circumstances. Ideally, participation would be timed to coincide with appropriate developments in the professor's career--sabbaticals, intervals between major projects, etc. The timing of each faculty member's specific participation and the specifics of the individual's process would be negotiated with the coordinator of the Perlman Center for Learning and Teaching and the dean of the college. Thus, individual faculty members may propose an alternative process to the one described here.

During the year of participating in the senior faculty development forum, the dean of the college will provide a small supplement (\$500) to the professor's PDA to be used in support of activities that particularly foster this process of reflection. It is expected that faculty participating in the Faculty Development Forum may be in a particularly strong position to submit applications for FDE grants and/or Targeted Opportunity grants; the dean and president will take Senior Faculty Development Forum participation into account (as one of many factors) as they review these proposals.

#### **15. Amendment of Regulations Governing Reappointment, Tenure, Appeals and Dismissals**

Amendment of the procedures set forth in the sections above shall be the province of the Faculty Affairs Committee, acting either upon its own initiative, that of the Trustees, of the Faculty Personnel Committee or of the dean of the college. No action of the Faculty Affairs Committee respecting these provisions shall be binding without the express approval of the faculty and the concurrence of the Board of Trustees.

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*Preface: Revised and adopted by the Board of Trustees October 25, 2014.*

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*Tenure-Track Third-Year Reviews: Adopted by the Board of Trustees July 1, 2004.  
Revised and adopted by the Board of Trustees October 25, 2014.*

*Revised and adopted by the Board of Trustees October 26, 2019.*

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*Tenure Reviews: Adopted by the Board of Trustees June 8, 2007.*

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*PEAR Reviews: Adopted by the Board of Trustees October 25, 2014.*

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*Continuing Reviews (non-PEAR): Adopted by the Board of Trustees October 25, 2014.*

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*Reappointment and Tenure Appeals: Adopted by the Board of Trustees on June 15, 2000.  
Revised and approved by the Executive Committee of the Board of Trustees on January 19, 2012.*

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*Disciplinary Procedures: Adopted by the Board of Trustees June 20, 2002.*

*Disciplinary Procedures revised and approved by the Executive Committee of the Board of Trustees August 12, 2020.*

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*Tenure and Terms of Service: Adopted by the Board of Trustees, July 1, 2004.*

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*Promotion of Tenure-Track and PEAR Faculty: Adopted by the Board of Trustees April 18, 2002.  
Revised and approved by the Board of Trustees May 15, 2010.  
Revised and approved by the Board of Trustees May 18, 2013.  
Revised and approved by the Board of Trustees October 25, 2014.*

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*Promotion for Continuing Faculty: Adopted by the Board of Trustees October 25, 2014.*

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*Senior Faculty Development Forum: Revised and approved by the Board of Trustees February 13, 2009.  
Revised and approved by the Board of Trustees October 28, 2014.*

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For [Faculty](#)

**Last Reviewed: Jan 7th, 2022**

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Maintained by Dean of the College Office

## Emeritus Status

Faculty members retiring from active service may be designated by the Board of Trustees as emeriti members of the faculty, provided that they have completed at least 15 years of service in faculty rank in the College. Normally emeriti status will be designated only if the faculty members have tenure; however, on the recommendation of the president and dean of the college, untenured faculty satisfying the other conditions may also be designated as emeriti by the Board.

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*Adopted by the Board of Trustees February 8, 2008.*

*Revised and approved by the Board of Trustees May 12, 2012.*

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Last revised May 12, 2012

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For [Faculty](#)

**Last Reviewed: Dec 13th, 2021**

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Maintained by Dean of the College Office

## Part-Time Faculty

### Tenure-Track and PEAR Part-Time Faculty

A part-time faculty member at Carleton is one who meets the following conditions:

- A. A part-time faculty member normally carries at least a half-time teaching load for the school year (half of the normal teaching load in the particular department) and teaches during at least two terms.
- B. A part-time faculty member is expected to take part in non-teaching service to the College. He or she is expected to serve on committees and act as an academic advisor. However, for part-time faculty members such responsibilities should be roughly proportionate to teaching load.
- C. Part-time faculty members share with the full-time faculty a commitment to long-range professional aims and improvement.

All faculty, part-time as well as full-time, may enjoy the privileges of leaves with pay and grants in support of scholarship. Tenure criteria and procedures for part-time faculty are the same as those for full-time faculty, but the tenure decision is made at a later time than is usual for full-time faculty. The pre-tenure period for a part-time faculty member is normally the equivalent of six years of full-time teaching, the decision coming in the final year. A part-time faculty member undergoes a "third-year review" after at most five years of service. These periods may be shortened at the suggestion

of the dean, the department chair, or the faculty member and with the agreement of all three.

Faculty on part-time appointments are eligible to participate in the College's sabbatical leave program. They may qualify for one term of leave with partial sabbatical support (the amount proportionate to their teaching load) after twelve terms of service, or for one term of leave with full sabbatical support after the equivalent of 12 terms of full-time teaching. Eligibility for leaves without pay will be the same as that for full-time faculty. A part-time appointment within the tenure system does not confer the right to a full-time appointment.

If requested to do so by a member of the faculty, the dean of the college and the chair of the relevant department(s) will attempt to negotiate with that faculty member a change from full-time to part-time status. Every effort will be made to accommodate such requests, provided that suitable means can be found to maintain the department's instructional program. A position converted to part-time status has only such rights of return to full-time status as are agreed upon in writing by the dean, the department chair, and the faculty member at the time of the initial conversion. The possibilities of other career patterns are so diverse and specific that a general description of them would be impossible. In each such case, negotiations will take place among the faculty member, the department chair, and the dean; and arrangements concerning time of tenure decision, eligibility for leaves, participation in the Senior Faculty Development Forum and the like will be made within the spirit of these regulations.

### **Continuing Part-Time Faculty**

Faculty may also hold part-time continuing appointments at Carleton. A part-time continuing faculty member teaches at least one course each school year. Part-time continuing faculty members share with the full-time faculty a commitment to long-range professional aims and improvement. All continuing faculty, part-time as well as full-time, may enjoy the privileges of leaves with pay and grants in support of professional development. Reappointment criteria and procedures for part-time continuing faculty are the same as those for full-time faculty, but the reappointment decision may be made at a later time than is usual for full-time faculty. A part-time faculty member undergoes a "third-year review" after at most five years of service. These periods may be shortened at the suggestion of the dean, the department chair, or the faculty member and with the agreement of all three. Faculty on part-time appointments are eligible to participate in the College's professional leave program for continuing faculty. They may qualify for one term of leave with partial sabbatical support (the amount proportionate to their teaching load) after fourteen terms of service. Eligibility for leaves without pay will be the same as that for full-time faculty.

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Last revised August 19, 2014

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For [Faculty](#)

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**Last Reviewed: Dec 13th, 2021**

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Maintained by Dean of the College Office

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The [Campus Handbook](#) is the one place to find all official Carleton College policies and guidelines. It contains the [Student](#), [Faculty](#), and [Staff](#) handbooks. These policies and guidelines are subject to change.

If you have questions or corrections, please email [campus-handbook.group@carleton.edu](mailto:campus-handbook.group@carleton.edu).

[Campus Handbook Archive](#) • [Tools for Policy/Guideline Maintainers](#)

This page last updated 9 July 2012.

[Login](#)

# Financial

## Accepting Credit Card Payments

### Purpose

In order to accept credit card payments, the College is required to comply with Payment Card Industry Data Security Standards (PCI DSS), which were established by the major credit card companies (American Express, Discover, JCB, MasterCard, and Visa) to protect merchants and cardholders from cardholder information theft. This policy will be reviewed at least annually and will be updated as needed to reflect changes in PCI DSS standards.

### Policy

Departments must contact the Business Office to receive approval prior to accepting credit card payment information, and follow the procedures described below to ensure the security of credit card transactions.

Departments are prohibited from storing credit card information electronically (in databases or excel worksheets) and sending credit card information via electronic means (i.e. e-mail, chat, instant messaging).

**Credit card information** is defined here to mean the full credit card number, the card verification code or the PIN. Credit card numbers appearing on receipts or reports must be truncated to the last 4 digits.

Only approved devices with PCI PIN Transaction Security (PTS) with end-to-end encryption may be connected to the Carleton network for credit card processing.

Access to cardholder data must be limited to only those individuals whose jobs require such access. Each individual with access to credit card information must have a unique user ID. User IDs should not be shared with other individuals.

All Information Technology data security standards are required to be followed when accepting credit card payments.

### Procedures

#### Establishing a credit card account:

1. Contact the Business Office for authorization to set up an account.
2. Departments processing credit card payments must attend training with the Business Office to

review the policies and procedures for accepting credit card payments.

3. The Business Office must establish all merchant accounts to ensure the Business Office has access to all accounts for monitoring and reconciliation purposes.
4. Departments must provide daily settlement reports to the Business Office for all credit card transactions unless other arrangements have been made.

### **Processing credit card payments over the internet:**

1. The Business Office has contracted with an online payment gateway that is PCI DSS compliant for receiving, transmitting and storing credit card data. Cardholder transaction information is collected and securely stored directly with the payment gateway or processor, at no time is credit card information collected or stored on College computers or transmitted by the College.
2. Departments obtain information directly from the payment gateway, only the information necessary to apply the payment (such as the name, amount and authorization code) may be retained at the department level. Files or print reports should not contain credit card information. The full contents of any data from the magnetic stripe, the card verification code and the PIN must not be stored under any circumstances. In the event of a dispute or chargeback, the transaction can be researched from the processor's website via a secure login.
3. Carleton Web Services will assist departments with setting up web sites for processing transactions over the internet.

### **Processing credit card payments where a card is presented in person:**

1. PCI DSS compliant credit card equipment will be provided to the Department by the Business Office through our merchant service provider. Imprint machines should not be used.
2. Credit card information must be truncated to the last 4 digits. The full card number must never be printed on anything, including the customer copy, our copy or batch reports. The card number should not be printed in either bar code or numeric format. In the event of a dispute or chargeback, research the transaction on the merchant account website via a secure login.
3. Signed slips or batch reports must be sent to the Business Office on a daily basis. Documents must never contain the full card number.

### **Processing credit card payments when the card is not present (mail or telephone):**

1. All rules that apply to "where card is presented in person" are applicable.
2. Promptly process the credit card information received. Following confirmation that the transaction has transmitted without error, immediately destroy credit card information received by cross-cut shredding so that credit card information cannot be reconstructed.
3. Never process credit card information that has been received by fax or e-mail. Contact the card holder (without forwarding their credit card information back to them) to let them know that their transaction could not be processed from this source and their message has been destroyed to protect their credit card information. Direct them to the online payment gateway OR have them mail the payment information OR accept their payment information verbally over the phone following the procedures described above.

## Reporting security incidents:

Employees must be aware of their responsibilities in detecting security incidents to facilitate the incident response plan and procedures. All employees have responsibility to assist in the incident response procedures within their particular areas of responsibility.

Examples of security incidents that employees might recognize in their day to day activities include, but are not limited to:

- Theft, damage or unauthorized access (i.e. papers missing from their desk, broken locks, missing log files, alert from public safety, evidence of a break-in or unscheduled/unauthorized physical entry)
- Fraud – inaccurate information within databases, logs, files or paper records

Immediately notify Security, ext. 4444 of any suspected or real security incidents involving cardholder data. Security will file an incident report in Advocate. In the event it is determined that credit card information has been compromised, the incident response steps defined in the Identity Theft Prevention Policy will be applied.

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Last revised August 24, 2018

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For [Staff](#)

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**Last Reviewed: Oct 29th, 2020**

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Maintained by Business Office

## Bills, Fines and Fees

Students are held responsible for payment of their bills and should refer to the [Academic Catalog](#) or their on-line billing statement for detailed information. Special plans for payment of the comprehensive fee may be arranged through [Student Accounts](#). Students who receive miscellaneous charges/fines/fees can view these on their Student Account Statement.

- Students with outstanding account balances will not be permitted to register for courses until arrangements for payment have been made with Student Accounts.
- Occasionally, the Office of the Dean of Students is called by a downtown merchant about a delinquent student account or bad check. In such cases, the college will not act as a collection agent but will inform the student that the college has been told about the matter and urge the student to resolve it with the merchant directly.

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For [Students](#)

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**Last Reviewed: Mar 2nd, 2021**

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Maintained by Dean of Students

## Carleton College Agency Funds

Carleton College will occasionally agree to serve as fiscal agent for another 501(c)(3) organization with a significant Carleton connection OR a higher education collaboration initiative.

Agency services include:

- Deposit services with the Carleton Business Office
- Payment processing by the Carleton Business Office
- Event registration and credit card payment processing on a Carleton College sponsored web page

Agency services do not include:

- Payroll services
- Purchasing card services
- Cash advance or deficit spending support

Agency relationships must be authorized by the [Carleton Business Office](#).

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Last revised February 19, 2021

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For [Faculty](#), [Staff](#), [Students](#)

**Last Reviewed: Feb 19th, 2021**

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Maintained by Business Office

## Contributing to Landscape Improvements and Maintenance

The College accepts gifts that provide funding to improve or support the maintenance of the campus, Cowling Arboretum, and other College-owned land. Proposed gifts for those purposes will be subject to the following policies and procedures.

1. The College strongly encourages donors to support operations and capital improvements through undesignated gifts, affording the College the greatest flexibility in applying funds to projects of the greatest need.
2. Designated gifts are appropriate in some circumstances but should provide support for existing needs, plans, intentions, or programs.
3. Initial contact with the College for information on or discussion of potential projects must be made through the Development Office, which also will coordinate project selection and gift arrangements. The Development Office will consult with the Facilities staff to determine feasibility and for preparation of plans, designs, and cost estimates.
4. Donations for special projects should provide funding for the entire project, from planning to installation to maintenance, including the cost of professional consultation if required. Support of any kind that is to be provided by the College must be approved, in advance, in consultation with the affected departments.
5. Many projects will be subject to review and comment by the Campus Design Committee, the Development Office, affected departments, the Vice President and Treasurer, the President of the College, or the Board of Trustees.
6. The method and content of donor recognition is subject to approval of the Development Office in consultation with the Facilities Department.
7. The College retains the right, subject to approval by the Trustees, to alter, relocate or remove any and all trees, plants or landscape objects as the future needs of the College may dictate.
8. Human remains may not be buried or interred on any College-owned land.

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December 14, 1989 by the Board of Trustees of Carleton College

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For [Alumni](#), [Faculty](#), [Families](#), [General Public](#), [Staff](#), [Students](#)

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**Last Reviewed: Jan 4th, 2022**

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Maintained by Development

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## Faculty Entertaining Students Program

Academic departmental budgets receive a special annual allocation to subsidize and encourage faculty-student interaction **outside the classroom** (such as in homes or other appropriate gathering places). These funds are intended to encourage faculty members and departments to think creatively about ways to engage with students outside the classroom in meaningful ways.

Departmental budgets are allocated \$80 per term per faculty member in expense code 5997; the department may choose to commingle these funds/events in whatever way creates the most meaningful event(s) for their student/faculty interactions. If a department exceeds the funds available in account 5997, the overages will be charged against other departmental funds at the end of the fiscal year.

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Last revised June 23, 2014

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For [Faculty](#)

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**Last Reviewed: Jan 7th, 2022**

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Maintained by Dean of the College Office

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## Financial Conflict of Interest (FCOI) for Faculty and Academic Staff Applying for Carleton-Administered Federal Grants

### Introduction and Summary

In August 2012, Carleton updated the College's policy related to financial conflicts of interest (FCOI) to ensure compliance with the FCOI policy of the National Institutes of Health (NIH).

The College chose to conform to the NIH's comprehensive policy because other federal funders either have adopted, or we expect they will adopt, standards similar to the NIH.

The full NIH statement on FCOI can be found on the Institutes' website, as part of the 2011 PHS Regulations ([42 C.F.R. Part 50, Subpart F](#)); along with [Frequently Asked Questions on FCOI](#), and additional information on NIH's [Financial Conflict of Interest page](#).

### Key Elements

Carleton's revised FCOI policy can be found below, but the **key elements of the policy** can be summarized as follows.

A project director (a.k.a. principal investigator) must disclose to the College all "significant financial interests" on his or her part and/or the part of his/her immediate family that include

- at least \$5,000 of payments from and/or equity interests in publicly-traded entities, or

- any equity interest in non-publicly traded entities, or
- reimbursed or sponsored travel such as a conference trip paid for by a corporate sponsor.

Note that owning stock in a company does not by itself qualify as a significant financial interest, unless you are receiving more than \$5,000 in payments from that company or the company is not publicly traded.

All interests related to a PD's institutional responsibilities, not just his/her NIH (or other federal grant) project must be disclosed to the College, with two exceptions:

- Income from seminars, lectures, or teaching, and service on advisory or review panels for government agencies, institutions of higher education, academic teaching hospitals, medical centers, or research institutes affiliated with an institution of higher education.
- Income from investment vehicles, such as mutual funds and retirement accounts, as long as the investigator does not directly control the investment decisions made in these vehicles.

The disclosure process can be initiated by completing the Compliance and Disclosure Form available at Corporate and Foundation Relations [Forms & Templates page](#).

For further information, contact Christopher Tassava (x5833, ctassava) or Dee Menning (x4441, dmenning) in the Office of Corporate & Foundation Relations.

## Policy

### **POLICY ON FINANCIAL CONFLICT OF INTEREST (FCOI)**

FOR ALL FACULTY AND ACADEMIC STAFF APPLYING FOR CARLETON-ADMINISTERED FEDERAL GRANTS

*As set by relevant federal regulations, including*

National Institutes of Health: [Financial Conflict of Interest](#) within NIH's Policy & Compliance/Grants & Funding pages

National Science Foundation: [Conflict of Interest Policies](#) in PAPPG 18-1 Chapter IX-Grantee Standards

Federal Register, Part IV, DHHS, August 25, 2011: [42 CFR Part 50, 45 CFR Part 94](#)

#### **1. SCOPE**

The following statement of policy applies to each member of the faculty or academic staff (Investigator) applying for a Carleton-administered grant from a federal agency or foundation. The policy was developed in response to 1995 federal rules and revised to meet 2011 regulations that govern institutional and researcher responsibilities in identifying and monitoring conflicts of interest. By assuming this responsibility for themselves, colleges and universities may avoid outside monitoring and regulation by the federal government.

#### **2. FIDUCIARY RESPONSIBILITIES**

Employees, officers, and members of the board of the College serve the public trust and have a clear obligation to fulfill their responsibilities in a manner consistent with this fact. All decisions of the board and officers of the administration and the faculty and academic staff are to be made solely on the basis of a desire to promote the best interests of the College and the public good. The College's integrity must be protected and advanced at all times. College faculty or academic staff applying for grants may be involved in the affairs of other

organizations. It is unlikely that an effective faculty will consist of individuals entirely free from at least perceived conflicts of interest. Although most such potential conflicts are and will be deemed to be inconsequential, everyone is responsible for ensuring that the College is made aware of situations that involve business relationships that could represent a conflict of interest with respect to an outside grant. *Thus, the College **requires that applicants** for a grant of College-administered funds from a federal agency (1) review this policy; (2) disclose any possible business relationships that reasonably could give rise to a conflict of interest for the investigator and/or his or her spouse/dependent children; and (3) acknowledge by his or her signature that he or she is in accordance with the letter and spirit of this policy. In addition to making this statement at the time of application, investigators must renew this statement a) within 30 days of identification of a new conflicting interest, and b) annually for previously identified FCOI.*

### 3. DISCLOSURE

Faculty or academic staff are required to list on the Compliance & Disclosure Form only those substantive business relationships (in federal parlance, “significant financial interest”) that could directly affect the design, conduct, or reporting of federally funded research. “Significant financial interest” or SFI\* includes any payments or equity interests in the 12 months preceding the disclosure that, when aggregated, exceed \$5,000 in remuneration and/or in equity interest in any publicly traded entity **AND/OR** \$5,000 in remuneration or *any* equity interest in a non-publicly traded entity that might affect the investigator or the research. In the event that a faculty member is uncertain as to the appropriateness of listing a particular relationship, the Dean of the College, as Institutional Grants Administrator, should be consulted. This policy per federal guidelines applies to the investigators responsible for the design, conduct, or reporting of federally-funded research; **and their spouses and dependent children**. This policy also applies to subgrantee investigators. Conflicts of interest frequently are matters of degree and judgment, and the College expects faculty and academic staff to be alert to the possible effect of outside activities on the integrity of their decisions and on their ability to fulfill their obligations to the institution and/or to funding agencies. As potential or actual conflicts of interest arise, the Institutional Grants Administrator will determine which conditions or restrictions might be imposed to manage, reduce, or eliminate actual or potential conflicts of interest. Records of financial disclosures will be maintained for at least three years from the date of submission of final expenditures reports. The College will make conflict information available, upon request, to federal agencies. Under the federal regulations listed above, **Carleton College has certain obligations** related to financial conflict of interest:

- provide public accessibility: [FCOI policy in Carleton's Campus Handbook](#).
- inform investigators of regulation, institutional policy, SFI disclosure responsibility, training requirements. CFR will obtain and file signed Compliance and Disclosure Forms upon proposal submission to NIH, NSF, and other select federal agencies. The Dean's office will email annual reminders for investigators to update their FCOI status and forward to CFR, and will track and verify training of faculty/staff/students involved in research.
- provide investigator FCOI *training* for NIH-funded grants: prior to engaging in research and at least every four years, and immediately when FCOI policies significantly change or when an investigator is new to Carleton or an investigator is found noncompliant.
- incorporate language as part of *subrecipient agreement* contracts that establish FCOI policy (include terms that establish whether the FCOI policy of the awardee institution or that of the subrecipient will apply to the subrecipient investigators, and includes time periods to meet SFI



disclosure, if applicable, and FCOI reporting requirements).

- designate an *institutional official* (Dean of the College, acting through CFR/Sponsored Research Office) to (a) solicit and review disclosure statements from each investigator planning to participate in federally funded research at time of application and annually, (b) oversee guidelines to identify conflicting interests, (c) develop and maintain management plans that specify the actions that have been, and shall be, taken to manage FCOI.
- provide *disclosure* of FCOI to NIH, when FCOI is identified: prior to expenditure of funds, annually during the period of the award (at time of annual progress report or extension ask, via eRA Commons FCOI Module), and within 60 days of discovering or acquiring a new SFI.
- maintain *records* of all investigator disclosures of financial interests and of the institution's review of and response to such disclosures, for at least three years from submission of final expenditures report; provide initial and ongoing reports per NIH specifications through the eRA commons FCOI Module; make information available upon federal agency request.
- respond, within 120 days of determination, to *non compliance* by completing and documenting a retrospective review of the investigator's activities and NIH-funded research project to determine if there was bias in design, conduct, or reporting.
- address these particulars if/when a *management plan* for FCOI Reporting is needed: 1) role and principal duties of the conflicted investigator in the research project; 2) conditions of the plan; 3) how the management plan design will safeguard objectivity in the research project; 4) confirmation of the investigator's agreement to the plan; 5) how the plan will be monitored to ensure investigator compliance (following guidelines of Federal Register Vol. 76, No. 165, section 50.605 "[Management and reporting of financial conflicts of interest](#)").

## DEFINITIONS

### ***Investigator***

For the purposes of this policy, a researcher or is a person, regardless of title or position, responsible for the design, conduct, or reporting of research funded by a federal agency, or proposed for such funding. Collaborators, consultants, and subgrantees may thus be considered "investigators," and an investigator's spouse and dependent children are also considered (for the purposes of this policy) to be "investigators."

### ***Significant Financial Interest (SFI)***

A **significant financial interest** consists of interests that reasonably appear to be related to the investigator's institutional responsibilities:

- with regard to any *publicly traded entity*, a SFI exists if the remuneration received in the 12 months preceding the disclosure, and the value of any equity interest as of the date of disclosure, exceeds \$5,000. "Remuneration" includes (i) salary, and any payments for services such as consulting fees or honoraria, paid authorship, reimbursed or sponsored travel and (ii) equity interest includes any stock, stock option, or other ownership interest.
- with regard to any *non-publicly traded entity*, a SFI exists if the value of any remuneration received in the 12 months preceding the disclosure, and the value of any equity interest as of the date of disclosure, exceeds \$5,000, or when the investigator holds *any* equity interest.
- intellectual property rights and interests such as patents or copyrights, upon receipt of income related to such rights and interests.

An investigator also must disclose the occurrence of any reimbursed or sponsored travel (i.e., that which is paid on behalf of and not reimbursed to the investigator so that the exact monetary value may not be readily available), related to their institutional responsibilities, provided, however, that this disclosure requirement does not apply to travel that is reimbursed or sponsored by certain *excluded sources* provided in regulation:

- salary, royalties, or other remuneration paid by the institution to the investigator if the investigator is currently employed or appointed by the Institution;
- intellectual property rights assigned to the institution and agreements to share in royalties related to such rights;
- income from seminars, lectures, teaching engagements, or service on advisory committees or review panels sponsored by a governmental agency, an Institution of higher education, or a research institute affiliated with a higher education Institution.

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Last revised March 13, 2019

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For [Faculty](#), [Staff](#)

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**Last Reviewed: Aug 2nd, 2021**

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Maintained by Grants Office

## Financial Obligations

Permission to register may be denied to students who have an outstanding financial obligation.

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For [Families](#), [Students](#)

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**Last Reviewed: Dec 13th, 2021**

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Maintained by Dean of the College Office

## Financial Regulations for Student Organizations

### Applicability

1. All student organizations receiving dues, donations, allocations, or other funds are required to conform to the following financial regulations. These regulations are an expression of Carleton College Policy with similar stature to those in the Carleton College Code of Conduct.
2. All student organizations officers should be familiar with the Carleton Student Association (CSA) Financial Regulations found at <https://apps.carleton.edu/orgs/csa/budget/guidelines/>

### CSA Funding

1. Each spring all CSA chartered organizations that desire funding for the following fiscal year (July 1-June 30) must submit their proposed budgets to the CSA Budget Committee. The proposed budget must include any anticipated income.
2. During the year, requests for additional funds or capital reserve funds must be presented to the Budget Committee for Approval. To transfer more than \$500.00 to another CSA chartered organization the transfer request form must be signed by the CSA Treasurer.

3. CSA allocations are for a given fiscal year. Under standard operating procedures, any surplus funds in an account revert to the CSA at the end of the given fiscal year. Dependent surplus funds, as described in paragraph 10 of the CSA Financial Regulations, may carry over to the following year. It is the organization treasurer's responsibility to submit the appropriate request to the Business Office at year's end.

## **Financial Operations**

1. The Business Office provides the technical support for the student organization's bookkeeping operations; that is receiving income, issuing payments, providing up-to-date budget information and billing for internal charges.
2. The Business Office oversees all student organization accounting procedures and is available to assist student organizations with financial questions.
3. Individual organizations are responsible for knowing their account balances. Financial records are considered open for inspection at any time by the CSA Treasurer, CSA Budget Committee, the Business Office, and the Director of Student Activities.
4. All student organization income--including fundraised money--must be deposited with the College Cashier into the relevant student organization account. Bank accounts outside of the college are not permitted.
5. All disbursements must be made by check, e-check\*, or credit card and are to be in payment of only those bills and charges which have been properly authorized by organization officers. Appropriate substantiation, such as invoice, statement, or original receipts must be provided with the check request. \*All students are expected to be signed up for electronic reimbursements.
6. Check Request Forms are available in the Student Activities Office, Business Office, and on the Business Office website and must be signed by the organization's president or treasurer, the CSA Treasurer, and the Director of Student Activities. Please allow at least seven business days for payment processing by the Business Office.
7. Student organizations may not incur any charge that will overdraw their accounts, even if the overdraft is only temporary.
8. All CSA funds and other funds raised through outside activities should be deposited into their college account and must be spent in a way consistent with the organization's goals as stated in its charter.
9. CSA Funds may not be spent to reimburse individual students for food or drinks unless those expenses are part of a group activity authorized by the CSA Budget Committee and/or the CSA Treasurer. Alcoholic beverages will never be funded by CSA funds. (Refer to College Alcohol Policy in the Student Handbook).
10. Mileage for personal vehicle use is reimbursed at the official college rate, which can be obtained in the Business Office. A completed travel waiver must be completed with the Student Activities Office prior to travel or the reimbursement request will be denied.
11. No group may use CSA funds to pay for performances by a Carleton student(s) without explicit prior approval from the CSA Budget Committee and the Director of Student Activities.

## **Sanctions Against Individuals**

1. The judicial authority of the College extends to violations of these regulations. Sanctions as

outlined in the Statement of Rights and Responsibilities may be imposed against students who as individuals or as organization officers are determined to have violated these financial regulations.

2. When, in the opinion of the CSA Treasurer and/or the Director of Student Activities, it appears that an individual has improperly used organization funds through willful deceit, they will be so advised by the Director of Student Activities and asked to justify the actions. If after ten academic days or thirty calendar days, whichever comes first, the individual has neither made a satisfactory explanation nor informed the Dean of Students that he or she wishes to challenge the assertion through the judicial process, the student will be billed if the transaction in question is \$100.00 or less. Amounts over \$100.00 must be handled through the College Judicial System.

### General Information

1. Organizations are encouraged to use the Student Activities Office for assistance with making large purchases or when the reimbursement process is not feasible.
2. **NO STUDENT MAY ENTER INTO A CONTRACT ON BEHALF OF THE COLLEGE OR A STUDENT ORGANIZATION.** Contact the Student Activities Office to negotiate all legal contracts.
3. Failure to abide by these regulations may result in the freezing of the organization's account, and may result in the imposition of the penalties.

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Last revised May 11, 2018

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For [Students](#)

**Last Reviewed: Feb 2nd, 2022**

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Maintained by Student Activities

## Fundraising by Student Organizations

Funding for student organizations is provided in several Carleton budgets (e.g. PEAR, CSA, etc.).

Students interested in engaging in fundraising activities for student-led organizations need to clear their project and fundraising objectives with the Dean of Students - Student Activities Office.

If there is an expectation for any gifts received to be recorded as a charitable gift to Carleton College and a gift acknowledgment sent to the donor, prior approval must be received from the Development Office so that proper procedures may be followed in accordance with IRS regulations.

Seeking funds or sponsorships from the Carleton donor community (e.g. alumni, parents, trustees, etc.) is not appropriate, as it may conflict with existing Carleton partnerships or initiatives. Sometimes students or their parents choose to provide additional funds beyond the regular budget, allowing teams and clubs to take advantage of additional opportunities, but gift receipts will not be provided unless there has been prior approval from the Associate Vice President for Development and/or the Assistant Vice President for External Relations.

Students may contact local businesses for support unless there is an expectation on the part of the donor business that a Carleton gift receipt will be provided.

Occasionally, funds will be solicited from an external source with a specific interest in the activity. Any solicitations or proposals to individuals must be approved and coordinated by the Associate Vice President for Development and/or the Assistant Vice President for External Relations; solicitations or proposals to foundations or other organizations must be approved and coordinated by the Director of the Grants Office.

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Last revised September 1, 2014

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For [Students](#)

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**Last Reviewed: Jan 4th, 2022**

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Maintained by External Relations

## Government Grants - Allowable Expenditures

Grant expenditures are subject to additional restrictions imposed by OMB Uniform Guidance (UG). All grant expenditures must be evaluated to ensure they are allowable under the terms of the grant, within the allowed time period, properly authorized and adequately documented.

An electronic **Grants Manual** has been prepared as a resource for faculty who have received external or federal funding in order to provide the necessary resources to ensure a successful project. Although the College is legally accountable to the grant sponsor as the official recipient of a grant, the Principal investigator is responsible for the proper fiscal management and conduct of the project.

<https://apps.carleton.edu/campus/business/govgrantmanual/>

The policies have been provided in order to provide clear guidance as to what costs constitute appropriate charges to federally funded projects, as well as to achieve consistency with other college policies.

The cost principles relating to expenditures on federal awards are contained in the Uniform Guidance, Subpart E, 200.400-409. While UG provides thorough guidance, some excluded items to note are:

- Alcoholic beverages
- Entertainment costs
- Personal expenses or purchases
- Lobbying
- Participant support costs not specifically addressed in your award letter
- International travel costs not specifically addressed in your award letter

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Last revised August 24, 2018

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For [Faculty](#), [Staff](#)

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**Last Reviewed: Feb 12th, 2021**

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Maintained by Business Office

# Insurance

Carleton College provides a level of insurance protection for employees, students, and College organizations acting on behalf of the College. College coverage does not extend to persons acting on their own or acting outside of the scope of their relationship with the College. The coverage provided by the College is not a replacement for, but rather, a supplement to their own coverage.

## Liability Protection

Carleton College insurance policies address claims and suits as follows:

1. Instructors, teachers, professors, and all salaried employees of the College are protected by the College liability insurance against claims for injury occurring anywhere in the world, brought against them by anyone, provided they were acting within the scope of their duties for the College at the time of the injury. Exceptions are claims arising out of the use of motor vehicles (see 2 below) and claims brought by another College employee who is acting within the scope of his or her employment.
2. All employees, all students, and all other persons are protected by the College automobile liability insurance for injury claims brought against them arising out of their use of a College owned automobile or a hired automobile, provided the College has given permission for such use and the use is within the scope of such permission. The listing of Approved Drivers can be found at Dropbox-Buso-Campus Departmental Reporting-Approved Drivers-Shared and the [Driving Privileges](#) policy can be found in the handbook.
3. Faculty and staff traveling internationally on College business and students on Off-Campus programs, are covered for emergency assistance through Cultural Insurance Services International. [CISI](#) provides medical referrals, evacuation assistance, and a wide range of travel assistance. Please notify the Purchasing and Risk Manager, through the [International Travel Record](#) before leaving. Faculty traveling with students should include student information in their communication so the coverage can be added for the students. Travelers wishing to travel to countries on the US State Department Warning list, need to contact the Purchasing and Risk Manager at x4178 to ensure that insurance is not excluded for travel to these countries.
4. Beyond the protection set forth in 1, 2 and 3 above, employees and students have to rely on their own individually purchased insurance for protection. In particular, employees, students, or others using their personal or a borrowed automobile (i.e., not a College-owned or hired automobile) on College business are not protected by College automobile liability insurance in the event that a claim is made against them, they must rely on their own or the automobile owner's insurance. Only the College itself is protected against claims arising out of use of such non-owned automobiles.

## Protection, beyond College insurance policies:

1. The College requires evidence that buses and vans contracted for transportation are insured. Please have the vendor e-mail a Certificate of Insurance listing Carleton College as additional insured to the Risk Manager.
2. The State of MN requires every motor vehicle which is operated on the public roads, streets and highways in Minnesota must be covered by proper no-fault and liability insurance.
3. Carleton College requires general liability insurance for all approved "third parties" to use

College facilities for specific events. If the "third party" is unable to obtain general liability insurance on their own, they can purchase coverage through the [University Risk Management and Insurance Association's TULIP Program](#) (Tenants' and Users' Liability Insurance Policy, also known as "Events Coverage").

## Vendor Insurance

1. Vendors providing service shall procure and maintain Worker's Compensation Insurance as required by law and Commercial General Liability Insurance with a limit of liability of at least \$1,000,000 per occurrence and \$3,000,000 aggregate. **Vendor shall provide a Certificate of Insurance listing Carleton College as the additional insured on the General Liability policy** as our interests apply prior to commencing its work using ISO Form 2010, edition date 11/85 or its equivalent. Certificates of insurance and hold-harmless agreements should be on file with the Business Office, and if required, verified with the vendor before commencement of the work or event in question.
2. Contact the Risk Manager at 507-222-4178 to request a Certificate of Insurance for an outside party. Provide the full name and address of the party, their fax number, the event name and date, any coverage or limit requirements and any additional insured requirements.
3. Any vendor demonstrating or loaning to the College a product, machinery, equipment, or a vehicle shall provide evidence of insurance covering damage to and loss of destruction of that property while in our care, custody, or control.
4. Carleton has contracted with Bon Appétit to provide alcohol service on the Carleton campus. Bon Appétit has applied for and been granted a Minnesota Liquor License and must provide the college with evidence of liquor liability insurance coverage.
5. Sponsors of events on Carleton College property may be required to provide certificates of insurance and/or hold-harmless agreements. Additional information about certificates of insurance for vendors and others coming to campus can be found on the Business Office web site.

## Employee Insurance

1. Carleton employees have access to a significant portfolio of insurance through the Carleton employee benefit program. Please reference the Employee Handbook for additional information.
2. Employees should have their own personal liability coverage to protect against risks involved in acts which might not be judged to be in the course of or pursuant to the normal duties or behavior of persons in their position. This coverage is readily available and its cost is not exorbitant.

## Student Insurance

1. All enrolled students must carry health insurance. Students, who do not, through their parents or otherwise, have health insurance, must enroll in the [Student Injury & Sickness Plan](#) through Wellfleet Insurance Company. Coverage runs for one year beginning August 15. Coverage must be renewed on an annual basis.
2. Student athletes participating in intercollegiate or club sports at Carleton College must be covered under an insurance policy that will cover sports related injuries.

- The NCAA requires varsity athletes participating in intercollegiate athletics to carry athletic injury insurance of at least \$90,000. Check with your current insurance company to make sure you have the required \$90,000 coverage for athletic injuries. To acknowledge you have athletic injury insurance of at least \$90,000, complete the required [Sports Participation Agreement and Injury Insurance Acknowledgment Form](#) online.
  - Varsity athletes who do not have athletic injury insurance of at least \$90,000 must purchase the Student Injury and Sickness Insurance Plan. ACKNOWLEDGEMENT OF ATHLETIC INSURANCE MUST BE COMPLETED BEFORE ATHLETES ARE ALLOWED TO PRACTICE.
3. Students should remove or otherwise take actions to protect their personal property left in College buildings over breaks. Everyone is responsible for maintaining adequate safeguards for an insurance coverage of their personal property. Employees, or parents in the case of students, should consider coverage under their homeowner's or renter's insurance. More information is available at [GradGuard](#).

### **Property Insurance**

Carleton College does not maintain fire, theft, or damage insurance coverage for the personal property of faculty, staff, students, or guests. The theft or damage of items left in storage on College property is not the responsibility of the College. College personnel are not authorized to extend coverage for personal property without the written consent of the Vice President & Treasurer or Comptroller.

**Further insurance information may be found at**  
<http://apps.carleton.edu/campus/business/riskmanage>

**Please direct questions to the Purchasing and Risk Manager, X4178**

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Last revised August 13, 2018

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For [Faculty](#), [Families](#), [New Students](#), [Staff](#), [Students](#)

**Last Reviewed: Feb 19th, 2021**

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Maintained by Business Office

## **Local Meals and Entertainment Expenses**

### **Guidelines for Local Meals and Entertainment Expenses (non-travel)**

These guidelines are intended to advise employees regarding college business expenses related to meal and entertainment expenditures incurred outside of overnight travel. Employees with questions are encouraged to contact the Business Office for clarification and further assistance.

Internal Revenue Service regulations state that ordinary and necessary business expenses are reimbursable. The IRS defines ordinary as “common in your field of trade, business or profession”; and necessary as “helpful and appropriate for your business.” The IRS states that meal and entertainment expenses cannot be “lavish or extravagant.”

The Meals and Incidental Expense (M&IE) rates for federal government employees provide a guide



by location to determine what is reasonable. To view the rate for different locations around the United States see [www.gsa.gov/mie](http://www.gsa.gov/mie), and for international locations see [http://aoprals.state.gov/web920/per\\_diem.asp](http://aoprals.state.gov/web920/per_diem.asp).

In order to avoid additional payroll taxes, Carleton reimburses employees under an “accountable plan,” which requires that employees:

- document expenses by costs, dates, and purchase descriptions for expenditures
- describe the business purpose of meals, providing the name and professional position of meal attendees
- return to the employer, on a timely basis, any amount advanced in excess of the substantiated expenses
- submit to the employer requests for reimbursement within 60 days of purchase or event

The College does not reimburse on a per diem basis, however when itemized receipts are not readily available per diem guidelines may be utilized along with the same accountable plan documentation to fulfill IRS business expense reporting requirements. When an employee uses a Carleton purchasing card, no receipt is required for transactions less than \$25, as long as the cardholder provides the business purpose and attendee descriptions.

## **Meal and Entertainment Expenses with Guests of the College**

Meal and entertainment expenses often include business guests of the College. The College will pay for reasonable, authorized, and appropriately documented meal and entertainment expenses associated with bringing a guest to the College. Expenses incurred when interacting with guests of the College (trustees, professional guests, alumni, parents, job candidates, donors, etc.) should be reasonable in relation to the nature of the function and the resulting business benefit expected to be derived from the expenses. The number of participants attending business meals should be limited to those individuals necessary to achieve stated business purposes. The amount of alcohol served at such events should remain reasonable and responsible at all times.

Meal and entertainment expenses may be provided at restaurants or employee residences. If an event is hosted at a faculty or staff residence, local social host regulations apply to anyone being served alcohol. Authorized faculty and staff may also entertain guests of the College at dining facilities on campus. The departmental dining option commonly includes entertaining visiting scholars, prospective students, job candidates, alumni, and potential donors. Employees may find [Dining Department Charge information](#) on the Campus Services website.

Meals for employee spouses are typically not considered business expenses unless the spouse is also a professional peer of the entertained guest and the presence of the spouse at the meal is significantly more than social.

## **Meals between Employees**

Meals between employees are usually considered personal expenses. Business meals between employees should be infrequent and occur only when they are necessary and integral to conducting College business. Meals taken on or off campus, as a matter of convenience or where the business conversation is an incidental part of the meal, do not qualify as business expenses. Business meals between colleagues typically encompass a significant business purpose, demonstrated through a

meeting agenda or other supporting documentation. The frequency of such meetings and the related expenses must be reasonable and appropriate to the purpose of the discussion and the nature of the business conducted. Purely social gatherings are not eligible for reimbursement.

The on campus departmental dining option is not intended for individual use or for meetings between co-workers, except for reasonable and necessary meal expenses at which a focused business discussion takes place to carry out the business of the College as defined above.

## **College Sponsored Events**

College sponsored events are intended to provide hospitality to both internal and external parties in a social setting that is appropriate and customary for promoting College business. Examples of business entertainment events include receptions for professional guests of the College, alumni functions, donor recognition events, and welcome receptions for parents and students.

Entertainment expenses should be reasonable in relation to the nature of the function and the resulting business benefit derived from the expenses.

The College also sponsors specific celebratory events including the annual holiday receptions, opening convocation, honors convocation, commencement, reunion, employee recognition, etc. Individual departments and programs are authorized to celebrate their graduating student majors. Other departmental or individual celebratory events that duplicate college sponsored recognition events are not eligible for reimbursement.

Personal celebratory events such as baby showers, birthdays, weddings, funerals and similar events are recognized by the college in limited circumstances. Please contact external relations for additional guidance. Welcome receptions and farewell/retirement receptions are both recognized as college business expenses and may be planned with moderation.

The Internal Revenue Code and regulations presume that there is no gratuitous relationship between an employer and an employee. Therefore the general rule is that a “gift” is actually income to the employee because it grows out of the employment relationship where an employee expects to be compensated for services provided to the employer. The IRS does not provide for any *de minimis* gift amount that can be ignored as compensation in the form of cash or gift cards.

## **Hospitality**

Entertainment expenses may be incurred by offices frequently hosting external constituencies on campus, such as prospective students, trustees, donors, alumni, parents, job candidates, professional guests, etc. Coffee, water, soda, small snacks, and other simple refreshments may be purchased to entertain visitors to the office or classroom.

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Last revised March 30, 2015

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For [Faculty](#), [Staff](#)

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**Last Reviewed: Mar 1st, 2021**

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Maintained by Business Office

## **Outside Employment**

The College does not intend to interfere with the private or personal life of employees. The College

recognizes that outside work, in modest amounts of time and service, can advance the professional development of an individual and magnify Carleton's contribution to society. However, proper performance of College duties may be hampered by outside employment, defined as working for another employer, being self-employed, or providing consulting arrangements or corporate board services. Regular full-time employees should not take paid employment outside the College which might affect their efficiency on the job at Carleton, constitute a conflict of interest, cause work schedule conflicts, result in the misuse of College resources, and/or otherwise have an adverse affect on the College. Advance approval of the employee's supervisor is necessary when considering outside employment to ensure no conflicts/issues will arise.

A conflict of interest may be defined as any situation in which private outside employment would or could reasonably be perceived to conflict with the best interests of the College or with the employee's performance of his or her College duties. Use of College resources to perform outside work (e.g. supplies, facilities, equipment, staff) may not be charged to or supplied by the College. Only in cases where there is a direct benefit to the College from the work itself (exclusive of the individual performing the work) and only with prior approval would such use be appropriate. A serious breach of this rule, in fact or public appearance, may result in appropriate disciplinary procedures.

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For [Staff](#)

**Last Reviewed: Jan 6th, 2021**

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Maintained by Human Resources

## Petty Cash

### Policy Statement

Carleton College may permit a department to maintain a limited petty cash fund, typically as a change fund for handling sales at events. Departments maintaining petty cash are required to exercise specific controls over its use and safeguard the fund at all times.

### Establishing a Petty Cash Account

Petty cash funds are established collaboratively by the Business Office and the Department Chair. The maximum fund is typically \$250. To request a petty cash fund present a completed and approved Payment Request Form to the Cashier. Please allow one week for processing. Reference expense code 10-0000-Dept-1142 Petty Cash.

Accountability for the petty cash fund should be assigned to a designated Department Petty Cash Custodian, who will be appointed by the Department Chair. The Department Chair cannot appoint himself/herself as Petty Cash Custodian.

Notify the Business Office if there is a change in the Petty Cash Custodian. In order to ensure accountability for the new custodian, the fund should be returned and reconciled with the Business Office at the time of the change.

### Restrictions on Use

Petty cash may **NOT** be used for the following:

- Any transaction over \$25
- Travel expense reimbursements

- Credit/debit card reimbursements
- Payments to vendors for invoices submitted directly to the department
- Payments to independent contractors, consultants, awards, etc., and to non-Carleton employees
- Payments to employees for services, awards, prizes, bonuses, etc.
- Personal borrowing (IOUs) or salary advances.
- NEVER cash personal checks.

### **Security of Petty Cash Funds**

It is the responsibility of the Petty Cash Custodian to safeguard the fund by limiting access and securing the fund, distributing the funds, obtaining supporting documentation for disbursements, maintaining receipts, balancing and reconciling the fund with the Business Office at least one per month.

The petty cash fund should be kept in a locked drawer or cabinet with the key in the custodian's possession. Any losses of petty cash are the responsibility of the department.

Petty cash funds not in use during the summer should be deposited with the Business Office on or before June 30.

### **Reconciliation and Reimbursement of the Fund**

The Petty Cash Custodian should properly document transactions in the following manner:

- Document each transaction on the Petty Cash Reconciliation. Identify all pertinent information (payee, purpose, transaction detail and date of expense). Identify the department and expense code to be charged.
- The individual receiving the payment must sign the Petty Cash Reconciliation to acknowledge the receipt of cash.
- Attach all original receipts to the Petty Cash Reconciliation. Reference each receipt to the corresponding transaction on the reconciliation. Detail receipts for all transactions should be obtained.
- The receipts, plus cash on hand, should equal the total amount of the fund at all times.
- The Petty Cash Custodian will be reimbursed by the Cashier in the Business Office for amounts paid out of the petty cash fund upon presentation of Petty Cash Reconciliation.

### **Reporting Stolen or Lost Petty Cash**

In the event that petty cash is stolen, the following procedures should be followed:

1. Inform Security of the theft at ext. 4444.
2. Obtain a copy of the incident report and attach to the Petty Cash Reconciliation. Submit the reconciliation and report to the Business Office.

### **Closing a Petty Cash Account**

The petty cash fund should be closed with the Business Office when the purpose for which the fund was established has been completed, as determined by either the Department Head or the Business Office. In addition, the Business Office reserves the right to conduct periodic usage reviews and, based on the results, can request closure or reduction of the fund.

## **Audit**

Each reimbursement request will be subject to audit by the Business Office Cashier. In addition, the Business Office may perform periodic unannounced audits of the fund to ensure proper controls are maintained.

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Last revised February 22, 2021

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For [Faculty](#), [Staff](#)

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**Last Reviewed: Feb 22nd, 2021**

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Maintained by Business Office

## **Post-Issuance Tax-Exempt Bond Compliance**

### **Purpose**

Tax exempt bonds (TEB) issued for the benefit of Carleton College by the Minnesota Higher Education Facilities Authority are typically a lower cost alternative to taxable debt and a valuable tool for financing capital projects. The interest on the bonds that is paid to bondholders is excluded from federal and Minnesota income tax if applicable federal tax laws are satisfied. The compliance requirements fall into two categories – prior to issuance and after issuance. A signed bond counsel opinion at closing is assurance that the requirements that must be satisfied on or prior to issuance have been addressed. In order for bonds to remain tax exempt through maturity, additional requirements must be met after issuance. Those requirements are addressed in this policy.

### **Policy**

It is the policy of Carleton College to comply with applicable federal tax laws to ensure that bonds issued for its benefit maintain their tax exempt status. The College will adhere to the guidelines of the Office of Tax Exempt Bonds of the Internal Revenue Service, Tax Exempt and Governmental Entities division, in Publication 4077 and guidance published in their article “TEB Post Issuance Compliance: Some Basic Concepts”. The procedures will be reviewed and updated annually to reflect changes in requirements or IRS guidelines for post issuance compliance procedures.

### **Responsibility**

The College’s compliance efforts are led by the Comptroller or his/her designee (such person is hereafter referred to as the Tax Manager). The Tax Manager consults with the Comptroller and Vice President & Treasurer.

### **Training and Continued Education**

The Vice President and Treasurer and other applicable staff will meet with bond counsel and other legal counsel and advisors, as needed, at least annually to obtain education and training on updates to federal tax law regarding tax-exempt bonds.

### **Continuing Disclosure Filings and Financial Covenants**

The Tax Manager maintains documents of all bond covenant and/or continuing disclosure requirements identified in the loan agreements.

After the close of each fiscal quarter and fiscal year end, the Tax Manager is responsible for ensuring that all continuing disclosure filing deadlines were met, and will prepare for the Treasurer's signature any certificates evidencing affirmative coverage of bond financial covenant thresholds (e.g. expendable resource ratio, debt service ratio, insurance, etc.) that may be required under a loan agreement or bond-related standby purchase agreements.

## Private Use

The College will monitor the use of bond proceeds in the event that there is or will be private business use violation; not more than 5% of the tax exempt bond proceeds can be used for private business use. Before each issuance of tax exempt debt, the College will analyze the planned use of bond proceeds and the planned use of property financed by bond proceeds to ensure that the 5% limit is not violated. Issuance costs financed with bond proceeds are treated as private business use when applying the private business use test are limited to 2% under section 147(g) of the Internal Revenue Code. Issuance costs include, but are not limited to: underwriters' discount, counsel fees, financial advisory fees, rating agency fees, trustee fees, paying agent fees (bond registrar, certification and authentication), accounting fees, printing costs, public approval costs, engineering and feasibility study costs, and guarantee fees.

The Tax Manager will maintain a chart of bond financed buildings, equipment and site improvements by bond issue (tracking each refinancing) at least annually to identify any private business use by lease or management contract associated with each facility.

### Records Retention

Tax exempt borrowers are required to maintain sufficient records to demonstrate that their bonds have satisfied the requirements for tax exempt status. Under current Internal Revenue Service (IRS) policy, these records generally should be maintained for the entire term of the bond issue (and the term of any refinancing issue), plus three years:

1. Bond closing transcript(s) and other relevant documentation in connection with the closing of the bond issue;
  - Construction contracts and purchase orders
  - Invoices related to bond proceeds spent during the construction period
  - Trustee requisitions and payment records
  - Documents relating to costs reimbursed with bond proceeds
  - Records identifying the assets that are financed or refinanced with bond proceeds
2. A copy of all material documents relating to capital expenditures financed or refinanced with bond proceeds including, but not limited to:
3. A copy of record of investments, investment agreements, arbitrage reports, and trustee statements.

The Tax Manager maintains an inventory of documents that generally should be retained. Official bond issue documents and post-issuance documentation are maintained in the Business Office. Records are stored in hard copy and electronic format.

### Processes:

1. Bond counsel and other legal counsel and advisors will be consulted regarding any potential changes in use of the bonds or refunding of the bonds.
2. Engage expert advisors to assist in the calculation of arbitrage rebate with respect to the investment of bond proceeds in accordance with the schedule specified in the loan agreement.
3. Monitor the use of bond proceeds (including investment earnings and reimbursement of expenditures made before bond issuance) and the use of bond-financed assets throughout the term of the bonds.
4. If discovery that any applicable tax restrictions regarding use of bond proceeds and bond-financed assets may be violated, the College will consult promptly with bond counsel and other legal counsel and advisors to determine a course of action to remediate all non-qualified bonds, if such counsel advises that a remedial action is necessary.

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Last revised July 26, 2018

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For [Staff](#)

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**Last Reviewed: Feb 23rd, 2021**

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Maintained by Business Office

## Property Disposal

### Policy

The purpose of the policy is to document the management and disposition of college owned property. When property is no longer safe or useful to a department or division, it may be declared surplus and disposed of in accordance with this policy. Surplus property may include supplies, materials, equipment and/or furnishings.

Our goal is to dispose of college owned property when it is no longer safe or useful to a department or division; and cannot be repurposed within the college. Disposal procedures will consider evaluation of environmental stewardship responsibilities by seeking reuse markets and ensure that surplus equipment is removed from buildings on campus in an efficient manner to ensure appropriate use of space for core academic and administrative needs.

Property purchased with college funds, donated to the college, or acquired for college use through other means, is considered property of Carleton College, title remains with the College at all times until asset disposal.

Property purchased, all or in part, with federal funds (with a value of \$5,000 or greater), must be managed in accordance with applicable college AND federal policies applicable to capital asset dispositions. Title does not reside with the Principal Investigator (PI).

Only the Vice President and Treasurer of the college is authorized to dispose of college owned property. College property may not be salvaged, scrapped, donated or otherwise disposed of without prior approval from the appropriate department head and the Vice President and Treasurer.

The following is in order of how a particular item shall be disposed of if no longer wanted by a department to ensure Carleton is upholding a proper disposal hierarchy.

## **1. Disposal by internal departmental transfer**

Supplies and materials declared as surplus by any department may be offered or placed within the College so long as they are determined to meet current safety standards. Approval from the Vice President and Treasurer is not required for reuse of supplies and materials by internal departmental transfer. Employees should obtain approval from the department manager or academic department chair prior to using the staff-all/faculty-all listserv to recycle College supplies and materials for departmental use. Employees and/or students are not allowed to take or purchase surplus college supplies and materials for personal use. Questions about safety standards can be addressed by the Director of Environmental Health and Safety Compliance, ext. 4146.

## **2. Disposal involving parties outside the college:**

- **2a. Specialty Disposal**

### **Disposal of computers**

1. The Vice President & Treasurer has approved a contracted service for disposal of computer equipment and printers which require special handling during disposal in order to ensure college data has been removed from the equipment. Please contact Information Technology Services to coordinate the disposal of computers, printers and other computer accessories, Hardware Asset Manager, ext. 4862.

### **Disposal of books**

1. The Vice President & Treasurer has approved a process for disposal of library books maintained in the college catalogue which will be coordinated by Library Services, including, Music Resource Center, LTC GSC, OIIL and Career Center as well as all Catalyst Catalog items. Students have the ability to sell textbooks back to the bookstore at the end of each term. They can also donate unwanted textbooks to the CSA textbook library at the end of Spring term. Faculty and Staff have the option of donating unwanted textbooks to the CSA textbook library at the end of Spring term. They can also utilize the Facilities drop-off site for the Northfield Auxiliary Book Fair in mid-April or drop off for recycling at Take Back Your Space Day in August. Individual faculty or staff library resources are managed by the individual and can be dropped off at the Sustainability Office, Facilities 300.

### **Disposal of federally funded equipment**

1. Additional approvals are needed from the Federal awarding agency prior to disposal of equipment in addition to the approval of the Vice President and Treasurer of the College. The Principal Investigator shall contact the awarding agency for applicable disposition instructions.

### **Disposal of hazardous substances**

1. Disposal of hazardous substances (chemical, biological, etc.) and equipment containing hazardous substances MUST be coordinated with the Director of Environmental Health and Safety Compliance, ext. 4146.

- **2b. Disposal by trade or exchange of property**



Certain items may be used as a trade-in for vendor credit with college suppliers (i.e. college vehicles or facilities equipment) if economically feasible and approved by the Purchasing Manager, ext 4178.

- **2c. Disposal by sale**

If an item is deemed to have some value, it may be sold on a first come, first serve basis at a set price or open for best offer as advertised on GovDeals.com, Carleton Community members are eligible to purchase from this site. Sales must be authorized by the Vice President and Treasurer. Items will be sold “as is” for pickup. To preserve an appropriate segregation of duties, proceeds from property disposals are directed to general institutional funds. Individuals responsible for management of operating budgets should not dispose of equipment/supplies/materials to influence and benefit their own operating budget. Operating budgets and carryover are intended to support the renewal and replacement of department furnishings/equipment and supplies. Facilities change requests and Institutional Capital budgets provide support for larger scale expenditures. Sales proceeds will go into the Zero Waste fund. Contact the Sustainability Program Coordinator ext. 4847, for assistance with the disposal process.

From time to time, community wide events may be coordinated by Facilities as surplus inventories of equipment and furnishing are evaluated for disposal by the college. Public notice of these events will be provided to the Carleton and Northfield community. Funds collected from the sale of surplus items will be deposited into the sustainability revolving fund. This process ensures that no one person receives preferential pricing or treatment.

Personal purchase requests from members of the college community are not accepted unless through the GovDeals public auction service.

- **2d. Disposal by donation**

Items that cannot be reused internally may be donated to other non-profit organizations with a Deed of Gift authorized by the Vice President and Treasurer. Contact the Business Office for assistance, ext. 4178.

- **2e. Special Event**

The annual Carleton Garage Sale is an authorized event where students leaving campus may dispose of surplus property. Personal property remaining in the Lost and Found will be disposed of at the Carleton Lighten Up Garage Sale. Proceeds from the event are designated for local non-profit organizations. This event ensures that no one person receives preferential pricing or treatment.

- **2f. Disposal by waste**

Items that cannot be recycled or donated to other non-profit organizations will be discarded through the college’s normal waste removal process. A work order request to Facilities should be submitted by the department. Facilities will coordinate disposal of these items in a centralized manner on an annual basis.

To deter theft and address safety issues, items that have been deposited into waste removal containers, including dumpsters, should not to be removed. Please contact Security, ext. 4444 if you have questions or concerns about individuals removing items from college waste removal containers.

**Last Reviewed: Mar 15th, 2021**

Maintained by Business Office

## Purchasing

Purchasing involves the procurement of goods and services that meet community needs at the lowest possible cost consistent with the quality needed for the proper operation of the various departments. In general, purchases should be handled in a manner that creates the greatest ultimate value per dollar expended.

The Purchasing Department is responsible for assisting with purchasing for the College by providing the community with "best procurement practice" guidelines; maintaining College procurement systems, and communicating the purchasing policies and procedures of the College. Operating within the guidelines described in this document, authorized department representatives may initiate purchases with funds available in their approved budgets.

1. Conduct all purchasing in accordance with College policy as outlined in this guide and the [National Association of Educational Procurement \(NAEP\) Code of Ethics](#).
2. Stimulate competitive bidding and provide interested vendors with an opportunity to offer their products to the College.
3. Strive to maintain strong and enduring relationships with vendors of proven ability and desire to meet our needs. To accomplish this, our purchasing activities will be conducted so that vendors will value our business and make every effort to furnish our requirements on the basis of quality, service and price.
4. All bidders must be afforded equal opportunities to quote and are to compete on equal terms.
5. Employees must not become obligated to any supplier. No member of the staff of the Purchasing Department or College employee shall receive any benefit or profit from any contract or purchase made by the College.
6. The Purchasing Department shall not knowingly issue a purchase order when there is evidence of a conflict of interest.
7. There must be funds available in the departmental budget before considering any purchase.
8. Employees are not allowed to make purchases with College funds for personal use.

### Methods of Procurement

1. Carleton Purchasing Card (VISA) - employees authorized to purchase on behalf of the college are issued a Carleton Purchasing Card to create an efficient and convenient method of procurement and payment. This is the primary method of procurement and payment.
2. Direct Vendor Invoice Payment - payment may be authorized directly from the vendor invoice for goods and/or services received.
3. Purchase Order Request Form – used to obtain a purchase order from the Business Office.

Purchase orders should be used for the purchase of services which need contract terms and conditions that are attached to a purchase order. Purchase orders are required for all construction contracts and are recommended for large purchases (over \$25,000).

**Use preferred vendors whenever possible see [Vendor Contracts](#) for additional information.**

**Only individuals with purchasing authority may initiate purchases on behalf of the College. Refer to the [Purchasing Authorization Guide](#) for details.**

## 1. Purchasing Card

College employees may be granted the privilege of using a Carleton Purchasing Card to make business-related purchases. Cardholders are required to retain original detailed receipts, reconcile transactions monthly, manage account codes, and provide the business purpose of each transaction. New cardholders are required to complete the following forms:

[Purchasing Card Application](#)

[Purchasing Card Agreement](#)

Authorized cardholders must complete training and sign the cardholder agreement, abiding by the code of ethics, anti-kickback clause and conflict of interest statement.

### **Cardholder Responsibilities**

The cardholder agreement stipulates that the cardholder:

- has attended the required purchasing card training
- is aware of and understands card policies and procedures
- is held accountable for all transactions made using his or her card(s), including those cards delegated to other employees or graduate students
- is responsible for the timely reconciliation of his or her card(s)
- is responsible for returning his or her card(s) upon termination, suspension or leave of absence
- may not purchase any personal items with his or her card
- may not transfer his or her physical card(s) or card responsibility to any other individual.
- should use preferred suppliers if at all possible for negotiated purchases, using good judgment for purchases outside of the card process
- is responsible for reporting lost or stolen cards immediately to Wells Fargo.

### **Overview of the Card Program**

Using a Carleton purchasing card closely resembles using one's personal credit card, except that use is **restricted to business-related purchases**. Each cardholder is required to keep the card secure and is encouraged to use it for every possible college-related purchase.

Each purchasing card has been set with spending limits, account distribution and account parameters. Transactions on each card default to a specified department number which can

be modified upon request. Cardholders are responsible for assuring that their transactions are charged to the correct department and expense code.

Cardholders may use the card to place an order in person at the supplier site, on a secure site on the internet, over the phone or by fax.

Carleton College is a tax-exempt organization. The college's Minnesota sales tax-exempt identification number has been labeled on each card. The cardholder must give this number to all suppliers at the time of any transaction to exempt payment for Minnesota state sales tax. In the event sales tax is billed to the cardholder's account, it should be rectified directly with the supplier. The cardholder is liable for sales tax they approve for which Carleton is exempt. A copy of the Carleton ST3 [exemption](#) is always available on the Business Office's webpage.

***Purchasing cards are not transferable. If someone's card use is to be discontinued, their supervisor must contact the Business Office immediately to close their account. Immediately report name changes for a particular cardholder to the college card coordinator so files may be updated and an updated card issued.***

**Using another employee's purchasing card is not in accordance with the conditions set forth in this policy.**

The following individuals are not permitted to have a card:

- courtesy employees (who do not receive a college paycheck)
- employees who have had a card previously revoked. (An employee may regain card use only at the request of their department card coordinator, following review by the Program Administrator.)
- employees not authorized as cardholders by department administration
- untrained employees or employees who have not signed and returned the cardholder agreement form, code of ethics and conflict of interest statement
- employees on personal leave of absence or on sabbatical for more than six months. (Returning nine-month faculty members and those employees planning to return following sabbaticals of six months or less are permitted to retain and use their cards.)
- non-employees, including consultants
- suspended employees

### **Card Delegation**

College cardholders, upon approval from the Program Administrator, may authorize use of their card to any other college employee. **This is not a transfer.** The card remains in the employee's name, not that of the person delegated; any misuse of the card is the responsibility of the employee. However, the college reserves the right to initiate disciplinary action against a delegated cardholder in the case of misuse, as detailed in the section of this policy on [Misuse of the Purchasing Card](#).

*Ultimately, the employee who delegates the card is always responsible for all transactions on his or her card and must sign the monthly cardholder statement.*

## **Card Security**

Only authorized cardholders (including delegated users) may use the card. It is the responsibility of every cardholder to safeguard cards and card numbers against use by unauthorized individuals within or outside the college.

### **Lost/Stolen Cards**

Immediately upon discovering that a card has been lost or stolen, a cardholder must report this by phone directly to Wells Fargo (1-800-932-0036) and to the college primary program administrator (x5992). In an emergency, a card will be reissued within two days for a minimal fee to the department. Otherwise the card will be replaced within 5-7 days, at no cost. The college's liability per cardholder is limited to the established restrictions on that particular card. Any charge against the card before it has been reported lost or stolen are the responsibility of the cardholder's department, which will be appropriately charged.

### **Fraud**

The Fraud Department of Wells Fargo (800-289-3557) will contact the Business Office if they see any suspicious or unusual activity on your card. The card will be placed on a temporary security hold and a Program Administrator will contact the cardholder to verify the validity of the charges.

### **Disputes**

Within 60 days of the transaction date, a cardholder may dispute a charge that appears on his or her monthly purchasing card statement. If the cardholder does not recognize a charge or it appears to be incorrect, he or she should attempt to work directly with the supplier for resolution. In the event resolution is not made, the cardholder *must* dispute the charge through the Wells Fargo CCER site.

When Wells Fargo has completed the investigation, the cardholder will be notified of the resolution. If the dispute is not settled in the cardholder's favor, the account will be charged for the disputed transaction amount.

To return an item, the cardholder should contact the supplier of the item for information on how to do a return. Following the supplier's procedures, the item should be returned directly from the cardholder to the supplier and payment adjustment should be agreed upon at that time. Should a discrepancy in charges occur, the cardholder should note the charge as a discrepancy in the reconciliation process and follow the proper procedures for disputing a charge above.

### **Misuse of the Purchasing Card**

Liabilities of the card remain with the college, rather than the cardholder, for all transactions made in compliance with this purchasing procedures and policy document.

Using a purchasing card, the following transactions are currently prohibited:

- personal purchases and use of Carleton earned frequent buyer points from group travel or student travel for personal purchases
- computer equipment unless with the consent of ITS

- purchases of furniture unless with the consent of Facilities
- personal expressions of gratitude/sympathy in the form of flowers, gifts, birthday cakes, etc.
- cell phones
- gift cards and/or gift certificates
- use of card to buy fuel for personal vehicle

Individuals given purchasing card access by their departments are held accountable for all the transactions related to their card(s), including those transactions made with cards they have delegated to another. Consequences for misuse of the purchasing card are serious.

Misuse of the card can be either personal or administrative. Personal misuse includes, but is not limited to: using the purchasing card for personal (i.e., non-college-related) purchases; use of the purchasing card by a suspended or terminated employee; allowing an unauthorized person to use the card (see the section on **Card Delegation** for the correct procedure to allow another employee to use your card).

Administrative misuse includes, but is not limited to: lack of proper reconciliation of the cardholder account (see the section on **Reconcilements** below); card use in direct violation of the purchasing card policies and procedures contained in this document (e.g., neglecting to use the card for commodities available through preferred suppliers; neglecting to perform monthly reviews).

When appropriate, supervisors should attempt informal resolution by bringing the misuse, and consequences of further misuse, to the employee's attention.

If informal resolution is inappropriate or ineffective, the supervisor must contact the Program Administrator. The following consequences of misuse have been established. Not all consequences will be applied to every violation; there are situations that may lead to disciplinary action, including suspension or termination of employment, without following all these steps. The primary program administrator reserves the right to use discretion in applying these guidelines, depending on the type and severity of the specific violation being addressed.

1. A formal warning will be delivered to the cardholder by the primary program administrator. The cardholder's immediate supervisor and department card coordinator will also be notified of the violation. In some cases, written notification of misuse may be included in the employee's central personnel file. The reprimand will include a warning for possible card revocation pending further misuse.
2. If violations continue after notification of misuse, card use will be revoked. The cardholder's immediate supervisor, the department card coordinator and, in the case of staff, the employee's personnel file will be notified. The employee may regain use of a college card only at the request of the department card coordinator and following review by the primary program administrator.
3. Based on the severity of the misuse, the college can decide to initiate disciplinary action, up to and including possible termination and/or legal action.

In addition, in the case of personal purchases repayment of the purchase by the cardholder to

the college is required following resolution of the discrepancy. Repayment may be made by cash or check. Payment for this misuse must be made within 10 days following resolution, or appropriate disciplinary measures will ensue. It is the responsibility of the cardholder to ensure that repayment is made for personal items charged to a delegated card.

### **Reconcilements**

Cardholders are individually responsible for monthly reconcilements of their purchasing card transactions on CCER, the Wells Fargo website. This website details transactions occurring in the current month, including the transaction date, supplier name, and the amount of the transaction. **Review this information for accuracy, correct accounting codes, and add notes to document the business purpose of the transaction.** Any exceptions must be resolved on the website.

The cardholder is responsible for **all** charges on his or her monthly statement, including resolution of charges in error. After final review is completed by the cardholder, all necessary original receipts and packing slips are attached to the printed statement form and signed by the cardholder. The statement and receipts are then forwarded directly to the Approver for their review and initials and then on to the primary program administrator.

### **Monthly Review and Reporting Timeline**

1st - 31st Transactions available for review on the web

1<sup>st</sup> – 8<sup>th</sup> Individual cardholder review and changes online; send initialed statement and receipts on to the second review person.

9<sup>th</sup>-12<sup>th</sup> Second review person to review charges online and initial statement and receipts to be sent to Business Office.

15th Transactions downloaded into the college financial system.

### **Record Keeping**

The cardholder is responsible for keeping all credit card slips, order acknowledgements, cash register receipts, hotel meal receipts, packing slips and other sales records related to any purchase using the card until reconciliation is done. This *original* documentation is then forwarded with the monthly reconciliation unless the cardholder needs it to resolve a disputed charge. Ultimately, all original documentation must be forwarded to the primary program administrator in the Business Office. Longer term record retention is managed by the Business Office.

### **Cost Allocation**

Each card is tied to one specific account number. Cardholders are responsible for allocation of transactions to the appropriate account numbers. Continued improper designations and/or neglect of proper card transaction allocations are considered administrative misuse of the card. As such, appropriate action will be taken as detailed in the **Misusing the Purchasing Card** section of this policy.

The cardholder is responsible for ensuring receipt of materials and services and for resolving with the supplier any delivery problems, discrepancies and damaged goods.

Any packing slips, receipts, net zero invoices, along with the credit card statement, must be kept for reconciliation purposes. For telephone or catalog orders, complete shipping instructions must be given along with cardholder name and the desired delivery location (specific building name, room number, etc.). The cardholder should inform the supplier to include the sales receipt (detailing the exemption of taxes) with the package. Save the credit card receipt and shipping documentation, including packing slips, which will be needed for reconciliation.

Renewal cards are sent out automatically by Visa a month before the expiration month.

If, for any reason, a cardholder wishes to cancel their card, the Program Administrator must be notified and the card must be cut in half and disposed.

The suspension or termination of a cardholder must be reported directly to the Program Administrator upon official notification of termination. The card should be destroyed and use will be eliminated at the termination date. In the case of termination, the cardholder is responsible for returning the card and for final reconciliation prior to separation.

Audits will be performed periodically to randomly review and audit cardholder activity for compliance with college policy and procedures. Cardholders found not in compliance with these policies and procedures will be subject to those actions contained in the section of this policy on **Misusing the Purchasing Card**.

Questions concerning this policy or for cardholder assistance, please contact:

Nick Sahli, Primary Program Administrator, x5509

Wells Fargo CCER Log in information available at-

[https://apps.carleton.edu/campus/business/purchasing\\_cards/cardprogram/](https://apps.carleton.edu/campus/business/purchasing_cards/cardprogram/)

## 2. Vendor Payments

### **Budget Authorization**

Supervisor or Division Head authorization is required for payment requests reimbursed through department funds. The [Budget Authorization Grid](#) provides guidance on budget authorizations for cash disbursements and purchase order requests. Accounts Payable will review payment requests to ensure that the appropriate budget authorizations are in place before invoices are paid.

### **Invoices/Receipts**

Submit itemized original invoices and/or receipts to Accounts Payable for payment.

- Invoices and/or receipts received for payment must include proper authorization, a valid Carleton general ledger account number, including a [vendor expense code](#).
- Employee reimbursement requests, not utilizing Faculty PDA funds, require Supervisor or Division Head approval.
- If the business purpose of the transaction is not clearly evident, please include a brief explanation.

### **New Vendor Set-up**

Accounts Payable requires all vendors to have an IRS W-9 on file with the College. The IRS



W-9 confirms the vendor's legal company name and taxpayer identification number. Vendor payment will not be made without a W-9 on file. Use the [Pilot W-9 Request Form](#) to initiate a secure transfer of the vendor's tax document.

Vendors may now receive payment through ACH Direct Deposit, eliminating the need for a paper check. Vendors who would like to receive ACH payments must fill out the [Vendor ACH Authorization Form](#) (along with a voided check) and return it to the Carleton College Business Office.

Carleton College  
Attn: Accounts Payable  
One North College Street  
Northfield, MN 55057

**Note: A W-9 is not required for current students and employees, and prospective students.**

### 3. Payment Requests

#### Payment Requests

The Business Office processes payments each week on Thursday. Please allow **7 business** days for processing. **The deadline to submit requests is 12:00pm Thursday to be included in the following Thursday's check run.** Payment will be delayed if Accounts Payable is required to seek additional information or returns a request which does not have adequate support or proper approval.

#### [Payment Request Forms](#)

- Payment Request Forms marked "dept. pick-up" are available for pick-up after 3:00 p.m. on Thursday at the Business Office. If a check has not been picked up within one week, the check will be mailed directly to the payee/vendor.
- Payment Request Forms marked "E-Check" will be reimbursed through electronic deposit to the account on record.
- Payment Request Forms marked "US Mail" will be mailed directly to payee/vendor.

#### 1. Employee Reimbursements

This policy is intended to be used as a guide for college related entertainment and business expenditures. It supports our belief that all business related expenses for the College should be undertaken in the most economical way consistent with achieving the objectives of the College.

In their regulations, the IRS states that ordinary and necessary business related expenses are deductible and reimbursable. The IRS defines ordinary as "common in your field of trade, business or profession"; and necessary as "helpful and appropriate for your business".

To the greatest extent possible, business expenses of the college should be charged directly to a Carleton College purchasing card or billed directly to the College following the guidance provided in the Purchasing and Travel Policies.

When an employee incurs out-of-pocket expenses in their work for the college, which

comply with the Purchasing and Travel Policies, they should submit a Payment Request Form with all appropriate IRS documentation, including original receipts to the Business Office within 60 days of their return to campus. Alternatively, employees may utilize the Wells Fargo Out-of-Pocket (OOP) feature to request reimbursement for business expenditures.

All employee reimbursements are processed as ACH payments to the employee bank account on record with Accounts Payable.

## 2. Honorariums and Prizes

The IRS requires that all payments for honorariums, prizes, and certain other payments be reported as income to the individual.

An honorarium is a payment that is primarily intended to confer distinction or to symbolize respect, esteem or admiration. Honorariums may be provided to individuals such as guest speakers or presenters who participate in educational events or projects. The IRS classifies honorariums as income and they are subject to taxation. **A W-9 form must be on file with Accounts Payable prior to payment.** Payment cannot be made prior to services rendered unless otherwise specified in the terms of the agreement.

Guests who request that their honorarium payment be directed to Carleton College or to another charitable organization in lieu of compensation must elect this arrangement prior to providing the service. Contact the [Business Office](#) for assistance.

A **Prize** recognizes performance as part of a judged competition, e.g. best design, highest score, academic achievement, etc. or winnings from a raffle or drawing. Prizes are reportable as taxable income (IRS Form 1099-MISC).

When processing a Payment Request for an honorarium, or prize, a Social Security or Federal ID# and home address must be on record. Information about the event including dates, location and description of activity must also be provided.

**Note: Performances for athletes or entertainers living outside Minnesota are subject to 2% State Entertainer Tax withholding.**

Payment of honorariums and/or prizes to Foreign Nationals are required to be reported, mandatory tax withholding may apply. Tax withholding may be exempted by applicable tax treaty articles, providing the individual claims the exemption by completing the necessary forms. Please contact Shari Mayer at [smayer@carleton.edu](mailto:smayer@carleton.edu) for assistance.

## 3. Payment for Services of an Independent Contractor or Consultant

Periodically services are required for a limited or intermittent period of time through an independent contractor/consultant.

Please contact Human Resources before hiring an independent contractor. If an independent contractor does not meet specific qualifications, they may need to be hired as an employee.

*All payments for services to independent contractors/consultants must be made*

*directly from Carleton College to insure compliance with all IRS withholding and reporting requirements.*

[Independent Contractor/Consultant Form](#)

[IRS resource information to assist with the determination of Independent Contractor vs. Employee classification](#)

#### 4. Purchase Orders

##### **Purchase Order Request Form**

A [purchase order request form](#) is the basic document used for initiating the procurement of supplies, services, or equipment and may be obtained from the Purchasing Department or retrieved from <http://apps.carleton.edu/campus/business/business-office-forms/>. Purchase Order Request Forms must be signed by an authorized department employee prior to sending the request form to the Purchasing Department.

Please make sure all information is accurate and that proper signatures and account codes are obtained. Frequently used expense codes can be found at <https://apps.carleton.edu/campus/business/AcctPay/codes/>. Use the account code which best describes the type of expenditure.

ALWAYS, check your budget to ensure you have sufficient funds to cover the expenditure.

##### **Requests for Quotations**

Price negotiations are always an important consideration, and comparing pricing between vendors is encouraged at any dollar amount. The College tries to match the procurement strategy closely with the specific item being purchased in order to minimize procurement costs while getting the best results. As a general rule, the higher the expenditure, the more care must be taken to plan and execute a careful procurement strategy.

In order to identify environmentally sound products, ask vendors to provide evidence of the post-consumer recyclable waste content and the Energy State compliance information on the product(s) quoted.

Criteria used to evaluate products and/or services include, but are not limited to:

- Performance, specifically including efficiency
- Availability
- Durability
- Reparability
- Natural resource use and waste reduction, including recycled content, transportation and packaging reduction
- Recyclability or biodegradability, including the cost of traditional disposal
- Toxicity

- Purchase Price

The College participates in consortiums to secure preferred pricing. If you are using an E&I <http://www.eandi.org/> or ACTC <http://www.associatedcolleges-tc.org/jntpurch/contracts.htm>) contracts, no additional price checking is required. If you are not using an E&I or ACTC contract, the follow these guidelines apply. Please attach your quotes to the [Purchase Order Request Form](#):

- Under \$1,000: Check one or more prices first
- \$1,000<\$10,000: Compare two or more prices. Telephone or faxed quotes are acceptable. Grant and FEMA funded contracts over \$10,000 will require 2 bids.
- Over \$25,000: A formal Request for Proposal or Request for Quotation is required.
- Over \$50,000: Construction related work requires a formal Request for Proposal or Invitation for Bid.
- Keep strictly confidential all information and quotations submitted by competing vendors until the purchase award has been made.

The Purchasing & Risk Manager is available to departments who need additional support.

### **Requirements for a contractor or consultant**

Prior to a contractor or consultant performing work or providing service, they must submit the following:

- Insurance Requirements and Indemnification Agreement
- Certificate of Insurance listing Carleton College as additional insured.

Please contact Randie Johnson at 222-4178 for assistance with this process.

### **Bids and Quotations for Purchases.**

It is the policy of the College to obtain competitive bids and price quotations, whenever practical, on all purchase requests for material and equipment purchases. This is accomplished by negotiated pricing agreements, soliciting requests for proposal, and formal bidding procedures. Departments can obtain quotes on their own as part of their decision making process or the Purchasing Department can assist the departments.

Note: For equipment purchases over \$10,000 involving Federal funds, completion of the [Vendor Selection Form](#) is required.

All vendor bids and quotations are evaluated on the basis of product quality, technical compliance with specifications, total cost, and the vendor's acceptance of the Colleges terms and conditions. Bids should be requested from at least two (2) vendors, whenever possible.

The primary objective of this procedure is to obtain goods and services at the lowest overall cost commensurate with quality and service. As a result the College benefits when suppliers realize they are vying for the award of business and must be competitive in cost and service.

The requirement for competitive quotations depends upon the total cost of goods or services

to be procured during the term of the agreement; such cost may be incurred either at one time or over a period of time, as in the case of a lease or rental agreement.

The requirement to obtain competitive quotations may be waived in certain situations such as the following:

Procurement can be made under an existing agreement.

An emergency situation exists.

The price and terms are known to be substantially identical among all suppliers.

The request is for an identical requirement that has been procured recently through the quotation procedure.

The available supply is limited and procurement must be made immediately or an opportunity will be lost.

The vendor is the only vendor in the world who sells the particular item requested.

The decision to do so is in the best interests of the College.

**DESCRIPTION AND/OR STATEMENT/SCOPE OF WORK (SOW):** The item description/statement/scope of work describes the quality and quantity of goods and services required by the College. Quality is determined by our needs. The purpose is to procure those items to suit the intended use at the lowest ultimate cost. Be as specific as possible; cite the specific performance, service, or deliverables that are required. Brand names may be used to establish a baseline comparison, but the words or equal must be included whenever possible and appropriate. A brand name may also be used when it is needed to match existing equipment or the item has been pre-approved as a standard by the College. In this instance "NO SUBSTITUTES" will be accepted.

**BID DEPOSITS:** When deemed necessary by the Department, bid deposits and/or performance bonds and payment bonds may be required. Unsuccessful bidders will be entitled to return of the deposit after award of bid. Successful bidder's deposit will be returned after satisfactory performance of the bid contract. It has been the policy of the College not to require bid deposits and performance bonds and payment bonds except when necessary. We believe this facilitates and encourages more competition with less cost to the bidders and the College. However bid deposits and performance bonds are required when it is in the best interest of the College such as in construction bids. Payment bonds ensure that our contractors pay their subcontractors.

**BID SUBMITTALS:** All formal bids must be submitted in a sealed envelope and identified with the following information; BID TITLE, BIDDERS NAME AND ADDRESS, DATE AND TIME OF BID OPENING. Bids may be delivered personally or by mail. It is the sole responsibility of the bidder to have his bid in the office of the Using Department by the date and time designated.

**BID OPENINGS:** Bids are opened privately by the Using Department after the designated bid opening time.

**REJECTION OF BIDS:** Read the bids carefully. Any deviation, alteration, or omission in the bid document may disqualify your bid. Read the specifications carefully to ensure all requirements are met. Below is a list of the most common errors found in bid documents.

1. Be sure you have properly signed and provided a seal on ALL required pages.

2. NO ERASURES ARE PERMITTED. If a correction is necessary, draw a single line through the entered figure and enter the corrected figure above it. All corrections (manual, typewriter, or whiteout) MUST BE INITIALED BY THE PERSON SIGNING THE BID. Any illegible entries, pencil bids or corrections not initialed will not be tabulated and will result in disqualification.

**BID RECOMMENDATIONS:** After all documentation is reviewed, a recommendation is made as to the lowest and best.

**AWARD:** The Using Department reserves the right to reject any or all bids and to waive any technicalities in bids received. A College purchase order or letter of intent is sent to the vendor awarded the bid. The College purchase order is a binding contract between the College and the Vendor and the bid is by reference made part and parcel of this contract.

### **Insurance Certificates**

If a vendor will be performing any work or service on the Carleton campus, an insurance certificate must be obtained before they begin their work. Insurance is required to protect Carleton in the event of an accident. The vendor would contact their insurance carrier to provide a certificate which complies with current [insurance requirements](#).

***Carleton College must be listed as named insured on the certificate.***

### **Legal Contracts**

Legal contracts should be reviewed by the Risk Manager. Please refer to the [Purchasing Authorizations](#) grid for contract signing authority.

### **Purchase Orders**

The Purchase order is a contract that legally obligates the College when accepted by the Vendor. Purchase Order Terms & Conditions are detailed at [https://apps.carleton.edu/campus/business/purchasing\\_cards/poterms/](https://apps.carleton.edu/campus/business/purchasing_cards/poterms/)

Complete a [purchase order request form](#) in detail, to include the description, quantity, unit price and estimated cost of each item and have the worksheet signed by the Department Chair or supervisor.

Submit the [purchase order request form](#) to Purchasing in the Business Office. A purchase order will then be generated. Purchase order request forms received in Purchasing prior to noon will turn into a purchase order in the afternoon. If you list a fax number on the worksheet, it will be faxed directly to the vendor.

Please use these 6 easy steps when processing a purchase request for goods and services

1. Fill out the [Purchase Order Request Form](#): Be certain to include as much information as possible. Catalog number(s), description of item(s), size(s), color, grade (if applicable), contact person and fax number, costs and the budget number should be noted on each

requisition. The purchasing staff will be happy to assist you in attaining this information.

2. Forward the completed form to the Purchasing Department: If any of this information cannot be determined, the Purchasing Department will obtain them after the request form arrives for processing. Bear in mind that Purchasing may be able to secure the requested good/services from another more effective source and will advise you on vendor selection when appropriate.
3. Estimated prices are to be entered on the requisition when actual costs are not known.
4. Enter a date wanted (delivery date) on each requisition: Please specify a date. ASAP, RUSH, IMMEDIATELY are usually ineffective.
5. To insure your requisition is processed as quickly as possible, please be sure all appropriate signatures are attained BEFORE forwarding to the purchasing office. If you submit the request form prior to noon it will typically be mailed or faxed out after 3:00pm the same day.
6. Please include any bid documents with your requisition. When a department specifies a single vendor for materials, service or equipment costing \$10,000 or more, the requisitioner must provide a supporting statement as to why competitive prices cannot be obtained.

### **Blanket Orders**

**Blanket Order:** You may find yourself using a particular supplier many times during the course of the year for small dollar purchases. In this case, a "Blanket Purchase Order" may be the best means of conducting business. A blanket Purchase Order is a simplified method of filling repetitive needs for small quantities of supplies or services with qualified sources. Blanket Purchase Orders are designed to reduce administrative costs in accomplishing small purchases by eliminating the need for issuing individual orders. If you think you need a blanket Purchase Order, please contact the Purchasing Department to discuss your options.

**Standing Orders:** A Standing Blanket Order is used by a requesting department when a specified quantity is to be delivered at a specified set time. The requesting department will set up a specified delivery schedule with specific quantities to be delivered on a specific day, week, etc.

### **Delivery of Large Purchases**

If the shipment is large enough to require a dock, Facilities Services must be notified at 222-4134; advise Facilities when to expect the goods and where to deliver them, and provide a contact person in the event of any problems or questions.

### **FOB Terms**

FOB Origin means that the seller bears the risk until it loads the goods onto an appropriate carrier, after which the buyer assumes risk of loss and must claim against the carrier for damage or loss in-transit. Also, the buyer assumes the cost of freight.

FOB Destination means that the seller bears the risk until the goods are transported to the buyer's dock, after which the risk will pass to the buyer. Also, the seller bears the cost of freight.

## **Damaged Goods**

When your order is received, compare the invoice or packing slip to the purchase order. Open cartons immediately to check for damage. The truck driver can wait until you do this. If you see obvious damage to the carton or goods upon delivery, either refuse the delivery or make note on the bill of lading that goods were damaged. If you accept the shipment and find hidden damage, save the unmarked carton that the product came in and report the damage to the vendor.

## **Returned Goods Procedure**

Occasionally it becomes necessary to return materials ordered because the goods are no longer required, excess material were ordered, or the material, as received, is not acceptable. In order to document the return of goods, the following procedure will be used.

The end user will contact the vendor, negotiate a return, get the returned goods authorization number and set up pick-up of the return materials. The following information may be required by the vendor:

- Purchase Order number
- Reason for return
- Description of item
- Action required (e.g., credit, replacement, or repair)
- No notes written on the box as it must be in condition for re-sale.

## **Recycled Products**

The College's commitment to integrating social and environmental responsibility into the educational enterprise extends to all aspects of its affairs, including the purchasing function. As a vital part of this commitment, emphasis is placed on locating and promoting suppliers for products which promote waste reduction, either through the product's recycled content, or through the product's ability to be reused or recycled. Please consider product alternatives containing recycled content when the quality and price are comparable.

As the primary source of paper used in copiers and printers on the Carleton College campus, Printing Services has adopted the policy and practice of filling such orders with uncoated white paper with a minimum of 30% post-consumer recycled content. Use of virgin paper is discouraged; however it will be available for customers who deem it necessary for their work.

## **Local Vendors, Minority or Women Business Enterprise (MBE/WBE) Vendors and Environmentally Committed Vendors**

Carleton College has traditionally supported doing business with local vendors, minority and women owned businesses and vendors who are environmentally committed. Many online ordering sites have icons which help you identify products from these types of vendors. Carleton College encourages all internal departments to include these types of vendors and



their products when looking to source a service or commodity.

The use of products and services with less environmental impact will be considered when making purchasing decisions. Factors to review in the life cycle cost analysis are: energy efficiency; shipping materials (returnable, reusable, or made from recycled content); and environmental performance of the supplier/producer (waste reduction, pollution prevention, clean air/water programs, and other initiatives). Our goal is to use vendors that are within 200 miles of us for 27% of our non-travel related purchases.

The College is running a campaign in Rice County to enact policies that will promote the growth of a sustainable and fair agricultural system in our region. Together with members of Food Truth, local foods activists and sustainable farmers around Northfield, we are working to build grassroots pressure and lobby our county commissioners to pass the Local Foods Purchasing Policy and the Organics Conversion Policy.

### **Green Purchasing Best Practices**

Carleton College faculty and staff can contribute to improving the environment by:

**Consolidate orders:** By increasing the number of items ordered in a single order, you reduce the number of campus deliveries and packaging waste. Our suppliers use fewer shipping cartons shipping cartons.

By reducing the number of deliveries made to your office, you are reducing fuel use, carbon emissions, and traffic congestion. To reduce natural resources consumed by packaging and delivery, please consolidate and coordinate office supply orders each month.

**Switch to On-line ordering:** Eliminate the need for paper purchase orders, save time, energy, and money.

**Make use of electronic catalogs:** Saves paper and eliminates the need to dispose of bulky catalogs every year.

**Buy items which contain recycled material:** Many vendors will have an icon next to an item to indicate whether it is made from recycled materials.

**Choose renewable resources:** Strive to use raw materials from sustainable and renewable sources.

**Opt for the non-hazardous alternative:** By purchasing alcohol thermometers as opposed to ones filled with mercury you can lessen disposal costs while removing the potential for a hazardous chemical spill. Likewise the purchase and use of non-toxic cleaning supplies, like those with the [Green Seal](#) certification, can improve worker safety by reducing exposure to noxious chemicals.

**Look for the most energy efficient model:** The US EPA Energy Star program rates and certifies hundreds of energy efficient products. Look for the ENERGY STAR label when you're shopping for items like copy machines, computers, refrigerators, and washing machines.

[http://www.energystar.gov/index.cfm?fuseaction=find\\_a\\_product.showProductCategory&pcw\\_code=OEF](http://www.energystar.gov/index.cfm?fuseaction=find_a_product.showProductCategory&pcw_code=OEF)

**ENERGY STAR** qualified products work just as well as standard products and will help Carleton reduce its energy consumption and greenhouse gas emissions.

**Buy locally:** It takes fuel to transport goods. Proximity to production not only reduces the energy use required to bring the item to market, it also helps to support the local economy.

**Buy only what you need:** While it may appear economical to purchase in quantity, the truth is that often the cost to dispose of unused supplies, especially chemicals, far exceeds the original price of purchase.

**Spread the word:** Recommend your green buy successes to colleagues.

### **Protective Clothing**

Employees who are required as part of their job to wear protective clothing such as safety shoes or boots, safety glasses, hard hats, and/or work gloves, will be reimbursed for the cost of the clothing based on the current limits set by the Facilities Department.

All materials or equipment purchased by Carleton College for use by its employees must be in full compliance with Occupational Safety and Health Act requirements and regulations.

### **Surplus Property**

Items declared as surplus by any department must be offered or placed within the College to the extent feasible or may be used as a trade-in if economically feasible. Employees are not allowed to personally take surplus property. Surplus property may be contributed to other non-profit organizations with a Deed of Gift authorized by an officer of the College. Refer to the [Property Disposal Policy](#) more information.

### **Prohibition of Firearms**

Carleton College prohibits contract employees, to the maximum extent permissible under Minnesota law, from carrying or possessing any firearms on campus. Contractors who fail to comply with this paragraph shall be determined to have a material breach of contract and shall entitle Carleton to terminate their Agreement immediately and without notice.

### **Centralized Purchasing**

**Computers:** In order to secure and standardize computer hardware and peripherals, Carleton College requires all computer equipment purchases to be coordinated with Information Technologies Services.

**Furniture:** In order to ensure buildings across campus are consistent in quality and the ambiance of the buildings is maintained, carpeting, furniture, and wall coverings are purchased through the Facilities Department. Please reference the Facilities Work Order and/or Facility Change Request. Click [HERE](#) to view our recommended local furniture vendors.

**Paper:** If copy paper is needed, use the [online order form from Print Services](#).

**Door Signs:** Door signs should be coordinated with Facilities. It is the desire of Carleton College to standardize these purchases. The department obtaining the purchase will be charged for the cost.

**Stationery - letterhead & business cards:** Letterhead and business cards should be coordinated with Publications. It is the desire of Carleton College to standardize these purchases. The department obtaining the purchase will be charged for the cost.

**Telephones:** Telephones can be acquired and installed by contacting Telecommunications. Any telephone request must be approved by the Department Head as there is a monthly charge assessed for each telephone used and each department is responsible for paying any long distance charges incurred. If a voluntary telephone move is requested, the department must pay for the charge.

**Compostables Store:** Compostable dinnerware items are available for order through the [Sustainability Office](#).

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Last revised February 26, 2020

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For [Faculty](#), [Staff](#), [Students](#)

**Last Reviewed: Feb 26th, 2020**

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Maintained by Business Office

## **Related Party Disclosure Statement (Conflict of Interest Policy)**

### **Purpose**

The Board of Trustees, officers, and management employees of Carleton College have responsibility for administering the affairs of the College honestly and prudently, and for exercising their best care, skill and judgment for the sole benefit of Carleton College. This policy is intended to ensure the transparency of related party relationships and affirm that the interest of Carleton College has first priority in all decisions and actions. Persons acting on behalf of the College shall exercise good faith in all transactions involved in their duties, and they shall not use their positions with Carleton College or knowledge gained from their work with Carleton College for their personal benefit.

This policy serves to protect Carleton College's tax-exempt organization status. The IRS as well as state regulatory and tax officials view the operations of Carleton College as a public trust, which is subject to scrutiny by and accountable to governmental authorities as well as to members of the public. Maintenance of its tax-exempt status is important for both its continued financial stability and public support.

### **Interested Person**

This statement is directed at the Board of Trustees, officers, management employees and other employees who can influence the actions of Carleton College. This includes all employees who make purchasing decisions, all persons who might be described as "management personnel," and anyone who has proprietary information concerning Carleton College.

### **Areas Where a Conflict May Exist**

Conflicts of interest may arise in the relations of Board of Trustee, officers and management employees with any of the following third parties:

1. Persons and firms supplying goods and services to the College.
2. Persons and firms from whom the College leases property and equipment.
3. Persons and firms with whom the College is dealing or planning to deal in connection with the gift, purchase or sale of real estate, securities, or other property.
4. Competing or affinity organizations.
5. Donors and others supporting the College.
6. Agencies, organizations and associations which affect the operations of the College.
7. Family members, friends, and other employees.

### **Nature of Conflicting Interest**

A conflicting interest may be defined as an interest, direct or indirect, with any persons or firms mentioned in Section 3 above. Such an interest might arise through:

1. Owning stock or holding debt or other proprietary interest in any third-party dealing with the College.
2. Holding office, serving on the board, participating in management, or being otherwise employed (or formerly employed) with any third party dealing with the College.
3. Receiving remuneration for services with respect to individual transactions involving the College.
4. Using the College's time, personnel, equipment, supplies, or goodwill for other than College approved activities, programs, and purposes.
5. Receiving personal gifts or loans from third parties dealing or competing with the College. Receipt of any gift is disapproved except gifts of a value less than \$50, which could not be refused without discourtesy. No personal gift of money should ever be accepted.

### **Interpretation of this Statement of Policy**

The areas of conflicting interest listed in Section 3, and the relations in those areas which may give rise to a conflict, as listed in Section 4, are not exhaustive. Conflicts might arise in other areas or through other relations. It is assumed that the Board of Trustees, officers, and management employees will recognize such areas and relation by analogy.

The fact that one of the interests described in Section 3 exists does not necessarily mean that a conflict exists; or that the conflict, if it exists, is material enough to be of practical importance; or if material, that upon full disclosure of all relevant facts and circumstances it is necessarily adverse to the interests of the College.

An interested person has a duty to disclose the existence of a conflict of interest described in Section 4 or other potential conflict of interest along with all material facts to the Audit Committee of the Board of Trustees at least annually and before any transaction is consummated. It shall be the continuing responsibility of the Board of Trustees, officers, and management employees to scrutinize their transactions and outside business interests and relationships for potential conflicts and to immediately make such disclosures.

### **Disclosure Policy and Procedure**

Transactions with parties with whom a conflicting interest exists may be undertaken only if all of the following are observed:

1. The conflicting interest is fully disclosed.
2. The person with the conflict of interest is excluded from the discussion and approval of such transactions;
3. A competitive bid for comparable valuation exists; and
4. The Audit Committee of the Board of Trustees has determined that the transaction is in the best interest of the organization.

Disclosure in the organization should be made to the chief executive officer (or if she or he is the one with the conflict, then to the Chair of the Audit Committee), who shall bring the matter to the attention of the Board of Trustees. Disclosure involving directors should be made to the Chair of the Audit Committee (or if she or he is the one with the conflict, then to the Chair of the Board of Trustees) who shall bring these matters to the Board of Trustees.

The Audit Committee shall determine whether a conflict exists and in the case of an existing conflict, whether the contemplated transaction may be authorized as just, fair, and reasonable to the College. The decision of the Audit Committee on these matters will rest in their sole discretion, and their concern must be the welfare of the College and the advancement of its purpose.

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The Vice President and Treasurer's office offers a Related party disclosure form for the purpose of providing disclosure statements. This form can be found on the Treasurer's website under forms on the navigation bar.

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*Adopted by the Audit Committee: May 16, 2007*

For [Faculty](#), [Staff](#), [Students](#)

**Last Reviewed: Oct 1st, 2021**

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Maintained by Vice President and Treasurer

## **Student Academic Fees and Miscellaneous Charges**

### **Purpose**

Ensure all academic fees of the college are reviewed and approved by the Board of Trustees.

### **Policy**

Student fees associated with Carleton academic programs (i.e. tuition, room, board, music fees, off-campus study fees, classroom materials, supplies, lending library access, etc.) **MUST** be approved by institutional governance prior to implementation. Approved fees will be included in the budget prepared for and authorized by the Budget Committee, College Council and Board of Trustees.

Academic fees are disclosed in the college catalog.

All student fees and fines should be communicated to the Carleton Business Office by the

originating department on a per term basis in order to ensure they are billed to the student account on a timely basis. The Business Office will support the billing and collection process.

From time to time departments may purchase goods or services for the convenience of participating students for which participating students will reimburse the college (i.e. dry-cleaning services; airline tickets; athletic equipment or athletic apparel), departments should contact the Business Office for assistance with the billing and collection process for these reimbursable expenses.

This policy does not apply to ticket sale events, Intramural, Club Sport, or CSA programs or other situations in which students are soliciting participation fees directly from their peers.

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Last revised November 20, 2020

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For [Faculty](#), [Families](#), [Staff](#), [Students](#)

**Last Reviewed: Nov 20th, 2020**

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Maintained by Business Office

## Student Marriage

Students who wish to marry and remain in student status must inform the Dean of Students by filing a copy of the marriage certificate in the Office of the Dean of Students. Financial aid status may be affected. The College does not provide married student housing.

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For [Students](#)

**Last Reviewed: Jan 4th, 2021**

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Maintained by Dean of Students

## Tuition Charges for 2021-2022

Tuition is charged as part of the comprehensive fee, which is regarded as an annual charge rather than the sum of charges for each term. The 2021-2022 fee totals \$75,600 allocated as follows:

- Tuition: \$59,850
- Room: \$8,115
- Board: \$7,260
- Activity Fee: \$375  
(View the [refund policy](#).)
- Special Fees\*
  1. For Special Students, the tuition fee is \$6,648 for one six-credit course.
  2. Off-Campus Independent Study up to six credits (including summer, winter, and spring break):
    - 1-2 credits: 1/6 of Course Tuition = \$1,108
    - 3-4 credits: 1/3 of Course Tuition = \$2,216
    - 5-6 credits: 1/2 of Course Tuition = \$3,324

3. Independent Reading Course fees up to six credits are charged at the same variable rate as Off-Campus Independent Study.

\*Note: Special fees for course work done in the summer of 2022 will be charged at the 2022-2023 rates which have not yet been established.

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Last revised August 15, 2018

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For [Faculty](#), [Families](#), [Students](#)

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**Last Reviewed: Jul 30th, 2020**

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Maintained by Business Office

## Tuition Refunds

**Refunds before a term starts:** Students are eligible for a 100% refund of tuition, room, board and student activity fees if they have paid for the upcoming term and subsequently withdraws or takes a leave of absence with notification to the Dean of Students Office before the term starts.

**Refunds after a term starts:** If a student withdraws during the first ten days of classes and notifies the Dean of Students Office by 5:00 p.m. on the tenth day of class a 25% tuition refund is available:

Term	Last day for a 25% tuition refund
Fall 2021	September 28, 2021
Winter 2022	January 18, 2022
Spring 2022	April 8, 2022

If a student leaves due to illness starting with the first day of class until the Monday of mid-term break, as defined by the academic calendar and notifies the Dean of Students office by 5:00 p.m. on the Monday of mid-term break; a 50% tuition refund is available:

Term	Last day for a 50% tuition refund
Fall 2021	October 18, 2021
Winter 2022	February 7, 2022
Spring 2022	May 2, 2022

Tuition Refund Conditions		
Reason for leaving	When Requested	Tuition amount refunded
<b>Any</b>	Prior to start of term	100%
<b>Withdraw</b>	Any day during the first ten days of class up to 5:00 pm on the tenth day of class	25%
<b>Withdraw</b>	Any time after 5:00pm on the tenth day of class and the end of term	0%
	Any time during the first day of class up to 5:00 pm on	50%

Illness	the Monday of mid-term break	
Illness	Any time after 5:00pm on the Monday of mid-term break and the end of the term	0%
Suspended, Dismissed or Expelled	After the start of the term	0%

Room charges will not be refunded if a student leaves after the term starts.

Board charges will be refunded for the remaining weeks of the term.

Financial aid will be reduced according to the [Return of Title IV Federal Student Aid Policy](#).

Applied music fees will not be charged to students who drop by the end of the drop/add period. After the drop/add period music fees will be refunded pro rata when a late drop is made for medical reasons or in similar emergency situations.

Special provisions for [military service](#) are addressed by the Registrar.

If a student wishes to transfer to another institution he or she must settle their student account in the Business Office by making necessary payments or arrangements for extension before a transcript of credits will be issued.

No refunds will be made to students suspended, dismissed or expelled from the College.

A more restrictive refund policy governs withdrawal from Carleton off-campus programs. This policy is explained in the [Carleton Seminars Withdrawal policy](#).

**\*Pandemic room and board refunds will be addressed by our emergency response procedures.**

**Credit Balance Policy:** If a credit balance is created by federal Title IV funds it will be sent to the student within 10 business days.

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Last revised August 30, 2018

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For [Families](#), [Students](#)

**Last Reviewed: Jul 13th, 2021**

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Maintained by Business Office

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Academic Regulations & Procedures

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Buildings & Grounds

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College Governance

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Communications

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Events

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**Financial**

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Health & Safety

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Housing & Residential Living

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Information Technology, Documents, & Records

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Research

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Travel & Transportation

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The [Campus Handbook](#) is the one place to find all official Carleton College policies and guidelines. It contains the [Student](#), [Faculty](#), and [Staff](#) handbooks. These policies and guidelines are subject to change.

If you have questions or corrections, please email [campus-handbook.group@carleton.edu](mailto:campus-handbook.group@carleton.edu).

[Campus Handbook Archive](#) • [Tools for Policy/Guideline Maintainers](#)

This page last updated 9 August 2021.

[Login](#)

# Health & Safety

## Alcohol and Other Drugs Policy

### I. Introduction

The Carleton College policy on alcohol and other drugs exists within the context of local, state, and federal laws. The regulations contained in this policy are designed to comply with all applicable City of Northfield ordinances and the laws of Minnesota and the United States, including the Drug-Free Schools and Communities Act Amendments of 1989.

### Philosophical Statement

Carleton College is committed to promoting responsible behavior regarding the use of alcoholic beverages. As an educational institution, the College provides resources through which students are empowered to inform themselves about the physiological, psychological, and sociological effects of alcohol and other drugs upon the individual and the community.

In a civil, safe, and healthy community, members take responsibility for their own actions, and consider the impact that their choices will have on others. All members have a duty to accept their obligations to the group, and to act for the common good. As members of such a community, Carleton students, faculty, and staff will be held accountable for upholding the standards set forth for appropriate behavior.

Above all else, in all actions, both on and off campus, members of the Carleton community shall:

- Demonstrate respect for others in their actions.
- Acknowledge the impact of alcohol on communal living, and work to limit its negative effects.
- Retain autonomy, and thereby accountability for their choices and the outcomes of such choices.

The policies which follow, and the philosophy upon which they are based, are intended to foster the continued growth and development of a respectful and responsible community.

### II. Regulations

1. **Alcohol, other drugs, and paraphernalia on campus:** The college prohibits the unlawful possession, use, manufacture and/or distribution of alcohol and illicit drugs by students and employees on College property or as part of any College activities. The provisions of Northfield city ordinances and laws of Minnesota and the United States including the

Drug-Free Schools and Communities Act Amendments of 1989 (Public Law 101-226), shall govern.

- a. No kegs or common containers of alcohol are allowed in private residential spaces (houses, townhouses, residence hall rooms, etc.). The college will confiscate any unlawful or unauthorized items. This includes, but is not limited to paraphernalia such as bongos, pipes, drugs, kegs, beer bongos, etc. Once confiscated, the items will not be returned.
  - b. Persons under 21 years of age are prohibited from drinking alcoholic beverages.
  - c. Persons 21 years of age or older may drink alcoholic beverages only in their private residential rooms or at registered events.
  - d. Alcohol is not permitted in any public area without prior registration. Public areas include but are not limited to: Sayles-Hill, Severance Great Hall, dining halls, residence hall and house lounges/living rooms, study rooms and corridors, all academic buildings and athletic areas, and all outdoor areas owned and operated by the College, including outdoor recreational areas.
  - e. Possession of open containers of alcohol is prohibited at all times at all campus locations, except at registered event locations or in private residential rooms.
  - f. High-risk alcohol-related activities, such as progressives, drinking theme parties, drinking games, beer bongos, and similar behaviors are prohibited.
  - g. Students should not engage in the manufacture or production of any alcoholic beverage on the Carleton campus including, but not limited to, cereal malt beverage (beer), wine, moonshine, and liquor.
  - h. The college recognizes the particular danger of driving while under the influence of alcohol and other drugs. Therefore, students are expected never to use substances and drive.
2. **Alcohol at registered events:** Some public areas may be registered for an event at which alcohol will be available by submitting the appropriate event registration form to the Student Activities Office. A full description of the regulations and responsibilities to which event sponsors are subject is found on the [Student Activities website](#)
- a. Any kegs or common containers (e.g. punch bowls, garbage cans, inflatable pools, etc.) of alcohol may be permitted if the following two criteria are met:
    - i. the event is registered in advance through the Social Event Registration process and approved through Student Activities, **and**
    - ii. the alcohol is served by a College approved licensed third party vendor.
  - b. Hard alcohol is allowed at registered events, but must be approved and served by a college approved licensed third party vendor. For the purpose of this policy, Carleton defines hard alcohol as anything other than beer, wine, or malt beverage.
  - c. All alcohol which is unauthorized will be confiscated along with all other related items (taps, kegs, cups, etc.). Note: This may result in loss of any purchaser's deposit(s). The student host or residents of the event will be held responsible and will face disciplinary action.
  - d. The college recognizes the disruptive effects that alcohol and other drugs can

have on the Carleton community. Therefore, all registered events are subject to (but not limited to) the following regulation principles:

- i. Event sponsors may be held responsible for the actions of both individuals and the group. Behavior that violates the living and study rights of other residents is unacceptable.
    - ii. Damages: If individuals responsible for the damage cannot be identified, the event sponsors shall be liable for damage and clean-up charges. The event area must be cleaned and returned to its pre-event condition.
  - e. Small gatherings in private residential rooms need not be registered with the College. Such gatherings are, however, subject to all other regulations regarding alcohol use described in this policy.
3. **Social Host Liability:** Anyone over 21 who serves alcohol to someone under 21 may be held civilly liable for any damages subsequently caused by the person under 21.
4.
  - a. Social Host Ordinance - City of Northfield (enacted May 2011): The purpose of the social host ordinance is to hold individuals responsible for activities that allow people who are under the legal drinking age of 21 to consume alcohol. Students who host parties where underage drinking occurs can be charged under this social host ordinance. The consequences for violating the Northfield Social Host Ordinance could be up to 90 days in jail and up to a \$1,000 fine, and is a misdemeanor. According to the ordinance it is essential to take reasonable steps to curb underage consumption.
  - b. Reasonable Steps May Include:
    - i. Controlling access to alcohol and alcoholic beverages in such a manner that no underage person has access to the alcohol and alcoholic beverages at the gathering or event; or
    - ii. Directly supervising the activities of underage persons at the gathering event either in person or through a responsible adult; or
    - iii. Checking identification of the attendees of the gathering to determine age; or
    - iv. Other actions made by the person to prevent possession or consumption of alcohol or alcoholic beverages by the underage person(s) present.
5. **Students on Off Campus Study:** Students participating in off-campus study programs are subject to local laws, as applicable. Students who jeopardize their own health, the health and safety of others, or the integrity of the living and learning environment on the program may be required to leave the program. The program director, in consultation with the VP/Dean of Students (or designee), has the authority to remove a student from the program under these circumstances.

### III. Sanctions and Responsive Action

1. **Sanctions:** A violation of this Policy is a “violation” within the meaning of the Community Standards Policy, III.C.5. All sanctions listed there (restitution, service, counseling, chemical dependency evaluation, revocation of privileges, warning, censure, disciplinary probation, suspension, and expulsion) are applicable. In addition, for violations of this Policy, sanctions may include mandatory education, counseling, fines,

community services, and/or evaluation, conducted on or off-campus.

## 2. **Responsive Actions:**

The College recognizes that students are expected to obey the law and take personal responsibility for their conduct. The College will respect the privacy of student's personal lives. The college will hold students accountable if and when:

- a. Students' use of alcohol or other drugs threatens order, causes public disturbances, poses danger to the students and/or others, or results in property damage;
- b. Illegal use of alcohol and other drugs comes to the attention of College officials. Drunk and disorderly behavior when under the influence of alcohol is a violation of the alcohol policy. Persons under the influence of alcohol will be held responsible for their actions.
- c. Any violations of this policy by students, including violations of the "Social Event Registration Guidelines," will be brought to the attention of the Dean of Students staff. Violations by faculty or staff will be brought to the attention of the Dean of the College or Vice President of the College, respectively.
- d. Violations will be reviewed and sanctions imposed by the Dean of Students, the Dean of the College, the Vice President of the College, or the Judicial Hearing Board.

## IV. **Resources**

Alcohol and drug counseling, treatment, and rehabilitation/re-entry programs for students, staff, and faculty are available from a variety of sources. Anyone who recognizes a personal alcohol or drug problem, is concerned about another student or co-worker, or who may wish to know more about alcohol and drug abuse may contact:

1. **Internal Sources:** (phone extensions; add area code 507 and 222 prefix if dialing from non-Carleton phone, e.g. 507-222-4248)

### 1. **Students:**

- Office of the VP/Dean of Students: 4248, 4075
- Residential Life: 4072
- Student Health and Counseling: 4080
- For more information on resources related to recovery, please see the [Office of Health Promotion](#) website.

### 2. **Faculty and Staff:**

- Dean of the College: 4303
- Employee Assistance Program: 1-866-326-7194
- Human Resources: 7471

2. **External Sources:** This website offers support resources within Northfield and the surrounding communities: <https://northfieldhci.org/resources/>

## **Endnote**

<sup>1</sup> Summary of Drug-Free Schools and Communities Act Amendments of 1989 (Public Law No.

101-226)

A. The new Drug-Free Schools and Communities Act Amendments of 1989 (Public Law No. 101-226) require colleges and universities to adopt a program to prevent the unlawful use of illicit drugs and alcohol by students and employees. A College's failure to comply with the Act can result in the immediate loss of eligibility to receive federal funding and any other form of Federal financial assistance, including federally funded financial aid.

B. All colleges must give notice to each student and employee that unlawful use of drugs and alcohol is prohibited, describe applicable legal sanctions and health risks, list counseling programs available, advise students and employees that violation of the policy could lead to penalties up to and including expulsion from the College, termination of employment and/or referral to civil authorities for prosecution, and review the policy biennially.

C. Policy Requirements: A college's drug prevention program must prohibit, at a minimum, the unlawful possession, use or distribution of illicit drugs and alcohol by employees and students on college property or as part of its activities.

Presented to and adopted by the College Council on May 29, 2001. Approved by the Executive Committee of the Board of Trustees June 21, 2001.

## V. Information About Alcohol, Tobacco and Other Drugs

[Description of College Student Substance Use](#)

[Health Consequences of Drug Use](#)

[Health Risks of Alcohol and Tobacco Use](#)

[Facts on E-cigarettes](#)

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*Adopted by College Council on May 29, 2001.*

*Approved by the Executive Committee of the Board of Trustees June 21, 2001.*

*Note: Information About Alcohol, Tobacco and Other Drugs policy revised/updated August 2011*

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For [Faculty](#), [Staff](#), [Students](#)

**Last Reviewed: Aug 17th, 2021**

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Maintained by Dean of Students

## Automated External Defibrillators (AEDs)

### Scope

Carleton College is committed to the health and safety of its students, faculty, staff, other members of the Carleton community and visitors. College departments and other administrative units may acquire an Automated External Defibrillator (AED) with College approval.

### Standard

All AEDs on campus will satisfy applicable Minnesota law and guidance relating to the use and maintenance of AEDs.

## Good Samaritan Laws

Minnesota's Good Samaritan statute, as amended in the 2011 Minnesota Statutes, section 604A.01 provides immunity both to persons operating an AED to render emergency care and to persons or entities providing or maintaining AEDs for use in rendering emergency care. This law was designed to encourage people to use AEDs to save lives by reducing or eliminating the fear that they could be held liable for ordinary negligence in rendering such care. Carleton does encourage personnel to have prior training when using an AED. Staff should be aware that they are not required to use an AED.

## Reason for the Carleton AED Policy

Each year, more than 250,000 Americans die from sudden cardiac arrest. According to medical experts, the key to survival is timely initiation of a "chain of survival," including CPR (cardiopulmonary resuscitation). An AED is used to treat victims who experience sudden cardiac arrest and/or a heart attack. The AED must only be applied to victims who are unconscious and not breathing (however, when in doubt, attach the pads to an unconscious victim). Non-medical personnel can use these simplified electronic machines to treat a person in cardiac arrest. The American Heart Association notes that at least 20,000 lives could be saved annually by prompt use of AEDs.

## Definitions

- **Automated External Defibrillator (AED):** a device used to treat victims who experience sudden cardiac arrest.
- **Cardiopulmonary Resuscitation (CPR):** is an emergency medical procedure for a victim in cardiac or respiratory arrest. CPR involves physical interventions to create artificial circulation through rhythmic pressing on the patient's chest to manually pump blood through the heart, called chest compressions.
- **Good Samaritan Laws:** in the United States are laws or acts protecting from liability those who choose to aid others who are injured or ill. They are intended to reduce bystanders' hesitation to assist, for fear of being sued or prosecuted for unintentional injury or wrongful death.
- **Heart Attack:** A heart attack is the death of, or damage to, part of the heart muscle because the supply of blood to the heart muscle is severely reduced or stopped.
- **Sudden Cardiac Arrest:** is the abrupt cessation of normal circulation of the blood due to failure of the heart to contract effectively during systole.
- **Systole:** the contraction, or period of contraction, of the heart, especially of the ventricles, during which blood is forced into the aorta and pulmonary artery.

## Deployment

1. The AEDs, where available and accessible, may be used in emergency situations when sudden cardiac arrest occurs. Individuals, who have volunteered, will be trained in the use and operation of the device. Such training shall be in accordance with the standards set forth by

the American Red Cross or the American Heart Association.

2. The “AED Medical Advisor” will provide medical oversight for AEDs under this program and provide the prescription required to obtain an AED.
3. AEDs will be placed in an accessible location and will be inspected in accordance with the operational guidelines of the manufacturer by the Director of Recreational Sports & Manager Recreation Center or designee.
4. The Carleton College Emergency Medical alert system should be activated immediately upon the discovery of a situation in which the use of an AED is anticipated. Activation will be by dialing 9- 911 (from a campus phone) and then immediately calling Carleton Security at 507.222.4444.
5. College Departments and Offices interested in learning more should contact Director of Recreational Sports & Manager Recreation Center at 507.222.4481.

See the [Emergency Information website](#) for a list and map of AED locations, as well as additional information on department/employee responsibilities, incident reporting, and AED maintenance.

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*Approved by the Carleton Safety Committee July 1, 2012.*

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Last revised July 10, 2012

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For [Alumni](#), [Faculty](#), [Families](#), [General Public](#), [New Students](#), [Prospective Students](#), [Staff](#), [Students](#)

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**Last Reviewed: Jul 26th, 2015**

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Maintained by Security

## Drug-Free Workplace

### Introduction

Following is a description of the Carleton College policy required by the Drug-Free Workplace Act of 1988, which went into effect on March 19, 1989. The College's failure to comply with the provisions in the Act could result in the termination, suspension or debarment of federal government funds or contracts including campus-based student aid funds to which the College may otherwise be entitled. It is important to note that not only are illegal drugs unlawful, but also that legal drugs can be manufactured, dispensed, etc. unlawfully.

### Policy Requirements

The College has the obligation to maintain a drug-free workplace to insure that employees perform their jobs safely, efficiently, and in a businesslike manner.

### Conditions

The unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance on college property or while conducting college business away from the campus by college employees is absolutely prohibited. Employees are expected and required to report for work or work related activities on time and in appropriate mental and physical condition to carry out their assigned duties. Any impairment due to alcohol or drug use, however slight, is unacceptable.

Employees should also report to Human Resources any medically prescribed treatment involving prescription drugs that may affect their ability to perform on the job.



As a condition of employment, Carleton employees must abide by the terms of this policy and must notify the College if convicted under any criminal drug statute for a violation occurring in the workplace not later than five days after such conviction. The College in turn must notify the federal funding agency within ten days of receiving such a notice.

### **Definitions**

#### **EMPLOYEES:**

This prohibition covers all employees, including part-time and students. The Drug-Free Workplace Act of 1988 literally applies only to those employees directly engaged in performing work under the provisions of a government grant or contract; however, because it is difficult to segregate work performed under a grant or contract from other institutional work, the College has elected to include all employees under this policy as have most institutions.

#### **WORKPLACE:**

The workplace is any site on or off campus where the work of the College is being performed.

#### **CONTROLLED SUBSTANCES:**

Controlled substances are drugs whose distribution is controlled by Federal or State regulation or statute--the worst street variety to mild prescriptions, including, but not limited to, narcotics, marijuana, hallucinogens, depressants, and stimulants, but not alcohol or tobacco products.

### **Consequence of Violations**

Employees found in violation by the College of the prohibitions set forth under "Conditions" or employees who receive a criminal drug statute conviction for a violation occurring in the workplace will be subject to disciplinary action by the College, up to and including termination, OR will be required to participate in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency.

### **Drug-Free Awareness Program**

Human Resources is responsible for a drug-free awareness program to inform employees about the dangers of drug abuse and the Drug-Free Workplace Policy. Some drug counseling and drug rehabilitation programs are covered by the College's health insurance for participating employees, and all employees except students have access to Carleton's Employee Assistance Program.

### **Labor Agreement**

The Drug-Free Workplace Policy is intended to be consistent with applicable collective bargaining agreements at the College. If differences arise, the Labor Agreement will take precedence.

See [Unlawful Use of Drugs and Alcohol policy](#) for further information.

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Last revised April 8, 1989

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For [Faculty](#), [Staff](#), [Students](#)

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**Last Reviewed: May 28th, 2021**

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Maintained by Human Resources

## **Food Sales and Distribution**

The Minnesota Department of Health provides specific guidance for food safety. Carleton College expects all campus vendors, students and staff to follow the MDH guidance to ensure the safety of

food served or sold on campus. Please reference <https://www.mda.state.mn.us/food-feed/cottage-food-producer-registration> for specific guidance and/or consult the guidelines from the University of Minnesota Extension Cooking Safely for a Crowd: <https://extension.umn.edu/food-safety/food-entrepreneurs>

Bon Appetite, our Dining Services partner, is the only food provider with a food license on record with Carleton College.

The college does not monitor other outside food service vendors contracted by individual departments to serve food at campus events.

Food prepared and served or sold on campus by individuals should be consumed with an understanding that products are homemade and not subject to state inspection. When selling items at a bake sale, the seller is responsible for **a sign or placard stating "These products are homemade and not subject to state inspection" posted** at the sale. Label food with your name and address, the date produced, and the ingredients, including potential allergens.

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Last revised August 13, 2018

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For [Faculty](#), [Staff](#), [Students](#)

**Last Reviewed: Feb 19th, 2021**

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Maintained by Business Office

## HIV Infection

It is the policy of Carleton College, to the extent of its control and ability, to facilitate the prevention of HIV infection and the mitigation of its consequences to both infected and non-infected persons.

The College also recognizes that persons with HIV infection are often further afflicted with a public ignorance, fear, and stigma that does not attend to other, more contagious, diseases. Therefore, the College:

1. does not require HIV testing as a condition of admission or employment,
2. does not restrict the activities of those known to have HIV infection,
3. does not tolerate discrimination against or harassment of those with HIV infection,
4. considers those with HIV infection as included under the College's general policies with respect to disability, and
5. treats knowledge of HIV infection cases on campus with confidentiality.

This policy applies to all those employed by or enrolled in the College and is subject to laws in effect from time to time.

## **Response and Procedures**

### **PREVENTION**

Faculty, staff, and students share the responsibility to prevent the spread of HIV infection. The primary response to HIV infection must be education. This includes both those with the disease and those not afflicted with the disease. Education about HIV infection is not only central to prevention but also to creating a proper campus atmosphere free from discrimination and unwarranted fear. Human Resources, Health Service, the Office of the Dean of Students, and the Office of the Chaplain will assist in providing information regarding HIV infection to all members of the community and developing a plan for general education, identification of risk, and intervention. The Director of College Health has a particular opportunity to counsel and inform the College community on how to minimize the risk of spreading infection.

Current medical experience indicates that students and employees in the normal academic setting of classrooms, residence halls, student unions, gymnasiums, swimming pools, and other recreational facilities, and other common areas, do not face a significant risk from those with HIV infection. Therefore, the College will not restrict the normal activities of those with HIV infection. If in the judgment of the Director of College Health, however, a person with HIV infection is engaged in an activity that poses a significant risk to either the infected person or another member of the community, the Director will take appropriate action. If the College becomes aware of activity that poses a significant risk of exposure, the College also reserves the right, following appropriate medical consultation, to take whatever actions are, in its judgment, necessary or appropriate to protect either the infected person or another member of the community from exposure to infection. Both the College and the Director will act in accordance with current legal and ethical principles.

It is the responsibility of departmental managers, coaches, and laboratory supervisors, first, to ensure that employees or students engaged in activities under their supervision that might render people susceptible to the transmission of HIV have access to information concerning the nature of HIV transmission and how it relates to their specific jobs or activities and, second, to monitor their employees and students concerning use of any proper, established procedures for those jobs or activities.

### **SUPPORT SERVICES**

The College has support services through which concerned persons can receive counseling, assistance in locating and using social services, and referrals for further assistance, such as Health Service, Counseling Services, the Employee Assistance Program, Office of the Chaplain, etc.

### **DISCRIMINATION**

HIV infection is considered a disability under federal civil rights laws. This includes protection from harassment and provision of reasonable accommodation for education and employment. Refer to either the Student, Faculty, or Staff Handbook for the Statement of Non-Discrimination and the Statement on Discrimination and Academic Freedom.

### **CONFIDENTIALITY**

All information regarding HIV infection of students or employees will be considered confidential. Except as required by law, necessary to administer College benefit programs, or otherwise fulfill the legitimate obligations of the College, this information will be given out only to parties authorized by the specific, written permission of the HIV-infected employee or student. The duty of physicians and other health care providers to maintain the confidentiality of information may be superseded by their

legal requirement to others in certain specific circumstances.

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*Adopted by the Board of Trustees on April 18, 1991.*

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Last revised April 18, 1991

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For [Alumni](#), [Faculty](#), [Families](#), [General Public](#), [New Students](#), [Prospective Students](#), [Staff](#), [Students](#)

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**Last Reviewed: Sep 22nd, 2015**

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Maintained by Human Resources

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## Inline Skating

The College encourages inline skating, roller skating, and skate boarding outdoors under conditions where these activities are safe for the participant and other pedestrians, does not disrupt other activities, and does not damage College property. As is the case with bicycles and all other vehicles, safety, courtesy, and consideration of others must always be foremost in the minds of persons using such equipment.

### Outdoors

Because the College is concerned about safety and bears some responsibility for the use of campus property, Security Services is specifically directed, and all others are encouraged, to look out for disruptive or unsafe inline skating, roller skating and skate boarding and to request participants cease the activity or report such instances to Security Services. Recurring problems may result in designating and posting certain areas as off limits to such equipment.

### Indoors

Inline skating, roller skating and skate boarding indoors is disruptive, may be dangerous, and may cause damage in College buildings. Such activities are categorically inappropriate within all Carleton buildings. Those wearing inline and roller skates must remove them upon entering any Carleton building.

Instance of noncompliance will be subject to disciplinary action in accordance with the Student Judicial Code for students and in an appropriate manner as circumstances dictate for all others.

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*Approved on April 22, 2003.*

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For [Alumni](#), [Faculty](#), [Families](#), [General Public](#), [New Students](#), [Prospective Students](#), [Students](#)

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**Last Reviewed: Jan 4th, 2021**

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Maintained by Dean of Students

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## Medical Amnesty for Violation of Alcohol and Other Drugs Policy

The College expects students to follow all federal, state, and local laws and regulations governing the sale, manufacture, provision, use and/or purchase of alcohol and other drugs (the “Drug and Alcohol Laws”), and to be responsible in their consumption of alcoholic beverages. Students who

violate the Drug and Alcohol Laws on campus or during College related activities will be subject to discipline by the College, as well as possible criminal charges by law enforcement authorities and civil law claims by affected persons. The College will not protect any member of the Carleton community who violates the Drug and Alcohol Laws.

There may be times when safety concerns arise from a student's drinking or drug use. The College has adopted this policy to encourage students in such a situation to promptly seek medical assistance without fear of discipline from the College. The College's highest priority is the health and safety of students and the College therefore also urges students to think first about their own well-being and the well-being of their fellow students. Consequently the College will not take disciplinary action for possession or consumption of alcohol or drugs against:

- A student who initiates a request for medical assistance for oneself;
- A student who initiates a request for medical assistance for another student; and
- The student for whom medical assistance is sought.

This policy does not apply to individuals who have previously violated community standards for the use of alcohol and other drugs, nor does it prevent action by law enforcement authorities. Although students are expected to request medical assistance in every situation where it may be needed, this amnesty policy does not extend to violations of other College policies.

In case of a medical emergency, students should call 911 immediately. (*From campus phones, dial 8-911*) In all cases where assistance is needed, call Security Services at x4444, or (507-222-4444). Carleton also has [outdoor emergency telephones](#) at several locations across campus.

Any student(s) afforded disciplinary amnesty under this policy will be required to meet with staff from the Dean of Students Office or Residential Life for a formal review of the incident. However, the College may recommend educational intervention, assessment, counseling for alcohol or other drug use, and/or parental notification when appropriate. Amnesty under this policy is also contingent on the student taking any actions recommended by the College. In an effort to prevent the recurrence of such a medical emergency and to identify patterns of problematic behavior involving alcohol or drugs, the Dean of Students Office will document the incident in a record that remains separate from the student's permanent disciplinary file.

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*August 18, 2015*

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For [Alumni](#), [Faculty](#), [General Public](#), [New Students](#), [Prospective Students](#), [Staff](#), [Students](#)

**Last Reviewed: Mar 1st, 2022**

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Maintained by Dean of Students

## **Official Closings and Winter Storms**

### **Official Closings**

On rare occasions the College may officially close (although classes may still be in session) as a result of non-weather related issues (i.e. loss of electricity or heat, computer access, tornado, flood, etc.) or due to inclement winter weather. In such events, the process for an official closing will be

determined only through select members of the administration; the President, the Vice President and Treasurer, Dean of the College, Director of Human Resources, and the Director of Facilities & Capital Planning. They will take under consideration the level of functionality and operations adversely affected in order to determine the necessity for an official closing.

Staff and faculty could receive notification via the following:

- E-mail (if operational) by one of the determining listed administrators;
- Contact in person. In the event where no readily accessible mode of communication is available (email or voicemail), a designated department contact will report to one of the offices of the determining administrators (i.e. President, Vice President and Treasurer, Dean of the College, Director of Human Resources, Director of Facilities & Capital Planning) for the official closing status of the College.

All regular employees who would have been working will be paid for their lost time. Those who work will be given compensating time off.

It is recommended that each department record voicemail messages on their telephones providing official closure information. These messages can be recorded even if off campus. For instructions on how to do this, refer to [Telecommunications website](#).

When the College decides to remain open even though there may be some functions inoperable, employees are encouraged to remain productive in altering their work tasks. If there is a question as to optional task completion, please confer with your supervisor for direction.

NOTE: Departments providing essential service – heat, security, food, snow removal, telephone, and emergency maintenance, shall make arrangements to provide adequate coverage at all times and in all circumstances. To facilitate snow removal, employees are urged to park in lots that have already been plowed whenever possible.

### **Winter Storms**

When winter storms create hazardous driving conditions, employees may arrive late or leave early with the permission of their supervisors. Each department shall establish its own procedures for doing so. Floating holiday, vacation, weather day or make-up hours may be arranged by the employee in order to receive pay for lost time. Make up hours must be worked within the same pay week as the lost time. Normally, make-up time resulting in overtime will be limited to the dollar value of the lost time pay.

The decision to close the College in the morning will be announced on KYMN, KDHL, KSTP, KARE 11, and WCCO by 7:30 a.m., if possible. Closings during the day will be announced by campus e-mail.

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Last revised December 7, 2005

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For [Faculty](#), [Staff](#)

**Last Reviewed: Dec 1st, 2021**

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Maintained by Human Resources

## **Policy Against Sexual Misconduct**

# I. Statement of Philosophy

Carleton College is committed to:

- Fostering a safe environment, free of sexual misconduct in any form. We expect community members to engage in relationships and sexual interactions that are characterized by consent. Individuals who engage in behaviors that violate Carleton's Policy Against Sexual Misconduct are held responsible for their actions.
- Responding to reports of sexual misconduct through established procedures that are comprehensive in scope, supportive in approach, and fair in execution. Support will be provided before, during, and after any resolution process, recognizing that for all parties affected by an instance of sexual misconduct—alleged or proven—the experience is emotionally, socially, and intellectually demanding. Retaliation against any person participating in the investigation or adjudication of a report of sexual misconduct is strictly prohibited.
- Taking seriously the fact that the best process to address sexual misconduct should begin before any sexual misconduct has occurred, with prevention through education, and should conclude with intentional measures to work towards healing individuals and community.

In accordance with Title IX of the Educational Amendments Act of 1972 and its implementing regulations, Carleton prohibits discrimination on the basis of sex, including Sexual Harassment (as defined below), in its education programs or activities. This prohibition on sex discrimination includes, but is not limited to, admission and employment.

## II. Title IX Coordinator

Carleton has designated Laura Riehle-Merrill to serve as its Title IX Coordinator. Their contact information is:

Laura Riehle-Merrill

Title IX Coordinator

Henry House 206

(507) 222 4028

lriehlem@carleton.edu

Carleton has designated Heidi Jaynes to serve as Title IX Deputy for Faculty and Staff. Their contact information is:

Heidi Jaynes

Title IX Deputy/Faculty and Staff

Recreation Center 229

(507) 222 4447

hjaynes@carleton.edu

Inquiries about the application of Title IX and its implementing regulations may be referred to these

individuals. These individuals may also act through a designee. Inquiries about Title IX and its implementing regulations may also be referred to:

U.S. Department of Education

Office for Civil Rights

Lyndon Baines Johnson Department of Education Bldg.

400 Maryland Ave, SW

Washington, DC 20202-1100

(800) 421 3481

OCR@ed.gov

### **III. Definitions**

Specific terms used in this Policy have the following meanings:

“*Advisor*” means a person selected by the Complainant or Respondent, or appointed by Carleton, who may be present during the Formal Complaint Resolution Process and meetings related thereto. An Advisor selected by the Complainant or Respondent may be an attorney.

“*Appellate Officer*” means the individual designated by Carleton to decide Appeals in accordance with Section VI.I, below.

“*Complainant*” means an individual who is alleged to be the victim of conduct that could constitute Sexual Harassment.

“*Confidential Campus Resources*” means all employees of Carleton’s Student Health and Counseling Center and clergy who serve as College Chaplains. Individuals involved in sexual misconduct matters may seek confidential support from these resources, who will maintain complete confidentiality of all information shared with them. Confidential Campus Resources have a responsibility to report non-personally identifiable information about sexual misconduct for the purpose of statistical reporting, as required by law.

“*Consent*” means the mutual understanding of words or actions freely and actively given by two informed people that a reasonable person would interpret as a willingness to participate in mutually agreed upon sexual activity.

- Consent is not effective when force, threat, or coercion is used.
- Consent is not effective if the recipient party is incapacitated, asleep, or unconscious.
- Silence or non-communication should never be interpreted as effective consent.
- Consent to one type of sexual activity does not imply consent to other types of sexual activity.
- Past consent is not future consent.
- Consent can be withdrawn at any time.

“*Decision-Maker*” means a member of the panel designated by Carleton that hears and reaches a determination regarding a Formal Complaint alleging Sexual Harassment in accordance with the



procedures outlined in Section VI, below. One of the Decision-Makers in any hearing shall be the Hearing Officer.

*“Formal Complaint”* means a document filed by a Complainant or signed by the Title IX Coordinator alleging Sexual Harassment against a Respondent and requesting investigation of the allegations.

*“Formal Complaint Resolution Process”* is the process outlined in Section VI, below.

*“Hearing Officer”* means the individual designated by Carleton who is responsible for managing the conduct of a hearing on a Formal Complaint of Sexual Harassment in accordance with the procedures outlined in Section VI, below. The Hearing Officer is also a Decision-Maker.

*“Incapacitation”* means the physical and/or mental inability to make informed, rational judgments. A person is incapacitated if they lack the necessary judgment to give consent to sexual activity. For example, a person may be incapacitated when asleep or under the influence of alcohol or drugs to an extent that the person is not capable of making a knowing decision. Knowledge of incapacity is evaluated based on a reasonable person standard. Accordingly, if a person has sexual contact with someone whom that person knows to be, or whom a reasonable person would know to be, incapable of making a rational, reasonable decision, that contact is without consent. Being intoxicated or under the influence of any substance at the time of sexual contact is never an excuse for violating this Policy.

*“Informal Resolution”* means the process outlined herein for resolving a Formal Complaint with the voluntary written consent of both the Complainant and Respondent and consistent with the other conditions and procedures set out in Section VI, below.

*“Investigative Report”* is a written report prepared by the Investigator that fairly summarizes relevant evidence gathered in an investigation and relating to a Formal Complaint.

*“Investigator”* means the individual designated by Carleton to gather information in response to a Formal Complaint.

*“Respondent”* means an individual who has been alleged to be the perpetrator of conduct that could constitute Sexual Harassment.

*“Sexual Harassment”* is conduct on the basis of sex that satisfies one or more of the following:

1. An employee of Carleton conditioning the provision of an aid, benefit, or service on an individual’s participation in unwelcome sexual conduct;
2. Unwelcome conduct determined by a reasonable person to be so severe, pervasive, and objectively offensive that it effectively denies a person equal access to education programs or activities;
3. Sexual assault, meaning an offense classified as a forcible or nonforcible sex offense under the uniform crime reporting system of the Federal Bureau of Investigation which include:
  - a. Fondling - The touching of the private body parts of another person for the purpose of sexual gratification, without the consent of the victim, including instances where the victim is incapable of giving consent because of their age or because of their temporary or permanent mental or physical incapacity.
  - b. Incest - Non-forcible sexual intercourse between persons who are related to each other within the degrees wherein marriage is prohibited by law.

- c. Rape - The carnal knowledge of a person, without the consent of the victim, including instances where the victim is incapable of giving consent because of their age or because of their temporary or permanent mental or physical incapacity.
  - d. Sexual Assault with an Object - To use an object or instrument to unlawfully penetrate, however slightly, the genital or anal opening of the body of another person, without the consent of the victim, including instances where the victim is incapable of giving consent because of their age or because of their temporary or permanent mental or physical incapacity. An “object” or “instrument” is anything used by the offender other than the offender’s genitalia, e.g., a finger, bottle, stick.
  - e. Sodomy - Oral or anal sexual intercourse with another person, without the consent of the victim, including instances where the victim is incapable of giving consent because of their age or because of their temporary or permanent mental or physical incapacity.
  - f. Statutory Rape - Non-forcible sexual intercourse with a person who is under the statutory age of consent
4. Dating violence, meaning violence (including but not limited to physical, emotional, or psychological behaviors) committed by a person: (A) who is or has been in a social relationship of a romantic or intimate nature with the victim; and (B) where the existence of such a relationship shall be determined based on (i) the length of the relationship; (ii) the type of relationship; (iii) the frequency of interaction between the persons involved in the relationship;
  5. Domestic violence, meaning felony or misdemeanor crimes of violence committed by a current or former spouse or intimate partner of the victim, by a person with whom the victim shares a child in common, by a person who is cohabitating with or has cohabitated with the victim as a spouse or intimate partner, by a person similarly situated to a spouse of the victim under the domestic or family violence laws of the State of Minnesota, or by any other person against an adult or youth victim who is protected from that person’s acts under the domestic or family violence laws of the State of Minnesota; or
  6. Stalking, meaning engaging in a course of conduct directed at a specific person that would cause a reasonable person to (A) fear for their safety or the safety of others; or (B) suffer substantial emotional distress.

“*SMS Advisor*” means a Sexual Misconduct Support Advisor, selected from a pool of Carleton staff who have volunteered to serve as advisors to students and have received training on this Policy and the Formal Complaint Resolution Process.

“*Supportive Measures*” means non-disciplinary, non-punitive, individualized services designed to restore or preserve equal access to educational programs or activities. Supportive Measures may be offered to a Complainant or Respondent before or after the filing of a Formal Complaint or where no Formal Complaint has been filed. Supportive Measures may include, but are not limited to:

- Counseling
- Coursework adjustments
- Modifications of schedules
- Campus escort services
- Mutual restrictions on contact

- Changes in work or housing locations
- Leaves of absence
- Increased security or monitoring
- Information regarding health care and mental health care
- Information regarding advocacy services and legal assistance

Supportive Measures provided to a Complainant or Respondent will be kept confidential to the extent feasible.

“*Title IX Coordinator*” means the individual identified in Section II, above.

## **IV. Jurisdiction**

This Policy applies to all Carleton faculty, staff, students, and visitors. Sexual misconduct can be committed by a person of any gender against a person of any gender. Sexual misconduct can be committed by friends, current or former intimate partners, acquaintances, or non-acquaintances. The Policy applies in connection with any Carleton program, whether on or off campus, including academic, educational, extra-curricular, athletic, residential, employment (including work-study), and other College activities and programs.

The Title IX Coordinator is responsible for determining whether matters fall under the jurisdiction of this Policy and may consult with others, as appropriate, in making such a determination. Where misconduct is alleged to have been committed by a staff or faculty member, in particular, the Title IX Coordinator may consult with the Title IX Deputy for Faculty and Staff.

Alleged conduct that does not fall within the scope of this Policy may be addressed under other applicable policies, including but not limited to those set forth in Section IX, below. This may include (but is not limited to) misconduct of a sexual nature that does not meet the definitions of Sexual Harassment set forth in this Policy.

## **V. Reporting**

Carleton is committed to creating a community free of sexual misconduct, to providing avenues for those affected by sexual misconduct to obtain assistance, and to providing clear and fair complaint and investigation procedures.

Carleton encourages individuals who have experienced any form of sexual misconduct to make a prompt report to the College. Any person—regardless of whether the person reporting is the person alleged to be the victim—may report such concerns to the Title IX Coordinator or, in cases involving faculty or staff, to the Title IX Deputy for Faculty and Staff. Reports may be made in person, by mail, by telephone, by email, or by Community Concern Form. Reports may be made at any time.

Students who wish to seek support after an incident of sexual misconduct, want to discuss options for addressing an incident of sexual misconduct, are considering filing a Formal Complaint, or have any questions about the Formal Complaint Resolution Process, should contact the Title IX Coordinator or a Confidential Campus Resource who can also provide information regarding available Supportive Measures and other services. More information can be found [here](#).

### **External Reporting**

When sexual misconduct occurs at Carleton, the standards of the community are violated. Depending on the type of misconduct, state and federal law may also be violated by conduct that violates College policy. Carleton also encourages individuals who have experienced criminal sexual misconduct to pursue criminal charges. State law definitions of consent, sexual assault, domestic violence, dating violence, and stalking can be found [here](#).

The College can provide information about available options, including information about Carleton's procedures or pursuing criminal charges. The College will advise individuals that filing a sexual misconduct report is not a substitute for legal action. An individual may be assisted by College authorities in notifying law enforcement or obtaining a legal no-contact order if the individual chooses. The College also recognizes the right of individuals to decline to notify law enforcement authorities.

Carleton will also provide all parties complete and prompt assistance, at the direction of law enforcement authorities, in obtaining, securing, and maintaining evidence in connection with a sexual misconduct incident. The College will also provide all parties assistance in preserving materials relevant to campus disciplinary proceedings.

Reporting an incident of sexual misconduct under Carleton policy is independent of any criminal investigation or proceeding and, except in cases where the College determines that a delay is necessary, the College may not wait for the conclusion of any criminal proceedings to respond to a report and take needed interim or resolution measures. Making a report to law enforcement is not necessary for the College to proceed with a resolution.

## **Required Reporting**

### **Faculty and Staff**

- All faculty and staff, other than Confidential Campus Resources, who learn of possible violations of this Policy are required to report that information either directly or through a Community Concern Form to the Title IX Coordinator or the Title IX Deputy for Faculty and Staff.
- While reporting is an obligation for all faculty and staff other than Confidential Campus Resources, in responding to a report, the College will be guided by the goal of empowering the self-determination of the individual who may have been subject to the misconduct and allowing that individual to retain as much control over the process as possible. However, no employee (other than Confidential Campus Resources) can or should promise absolute confidentiality.

### **Students**

- Resident assistants are required to report incidents of possible sexual misconduct through a Community Concern Form when relevant information comes to their attention through their work as resident assistants. Resident assistants are required to include the names of involved students.
- Peer leaders other than resident assistants are required to report incidents of possible sexual misconduct through a Community Concern Form but may choose to omit the names of involved students. Peer leaders may choose to share more information, including names, to help affected students receive appropriate support and attention.
- Other students do not have an obligation to report sexual misconduct but are encouraged to

consider sharing information about sexual misconduct with the Title IX Coordinator to help affected students receive appropriate support and attention.

### **Limited Immunity for Alcohol and Drug Violations**

The College seeks to remove barriers to reporting incidents of sexual misconduct. An individual who has been drinking or using drugs at the time of an incident of sexual misconduct may be hesitant to make a report or participate in an investigation because of potential consequences for their own conduct. No student who, in good faith, reports an incident of sexual misconduct or participates in an investigation of sexual misconduct will be subject to disciplinary action for their own personal consumption of alcohol or other drugs related to that incident. The College may recommend educational intervention, assessment, or counseling for alcohol or other drug use when appropriate.

### **Response to a Report**

The College will treat all parties connected with a sexual misconduct report with dignity. The College will not suggest that a Complainant is at fault or should have done something differently to avoid an incident.

In response to a report, the Title IX Coordinator will promptly contact the Complainant to discuss the availability of Supportive Measures (with or without the filing of a Formal Complaint), consider the Complainant's wishes with respect to Supportive Measures, and explain the process for filing a Formal Complaint. Fair and responsible Supportive Measures will be available to all parties.

If the Complainant chooses not to file a Formal Complaint, the Title IX Coordinator may choose to do so. In some circumstances, the College may acquire information about a potential violation of this Policy through a Community Concern Form or other source that identifies a potential Respondent but does not identify the person (or persons) who was subject to the conduct. In this or another appropriate situation, the Title IX Coordinator may choose to file a Formal Complaint.

If the Complainant or the Title IX Coordinator chooses to file a Formal Complaint, such Formal Complaint will be handled in accordance with the following Formal Complaint Resolution Process.

## **VI. Formal Complaint Resolution Process**

Carleton's response to a Formal Complaint of Sexual Harassment will treat Complainants and Respondents equitably and provide a process in which the Title IX Coordinator, Investigator, Decision-Makers, Hearing Officer, Appellate Officer, and any facilitator of an Informal Resolution are free from conflicts of interest or bias against the Complainant or Respondent (or against complainants or respondents generally).

These individuals will receive training on the definition of Sexual Harassment, the scope of Title IX, and how to serve impartially including by avoiding prejudgment of the facts at issue, conflicts of interest, and bias. These individuals will also receive training regarding their specific roles in the process.

Carleton will strive to complete the Formal Complaint Resolution Process within 90 days of the filing of a Formal Complaint. The Title IX Coordinator may allow for the temporary delay of all or part of the Formal Complaint Resolution Process for good cause and will provide written notice to the Complainant and Respondent of the delay and the reasons therefor.

## **Presumption**

The Respondent in a Formal Complaint is presumed not responsible for the alleged conduct until a determination is made regarding responsibility at the conclusion of the Formal Complaint Resolution Process.

## **Written Notice**

Within a reasonable period following receipt of a Formal Complaint, Carleton will provide written notice to known parties:

- Of this Formal Complaint Resolution Process
- Of the allegations potentially constituting Sexual Harassment, including details then-known regarding:
  - the identities of the parties involved in the incident
  - the conduct allegedly constituting Sexual Harassment
  - the date and location of the alleged incident(s)
- That the Respondent is presumed not responsible
- That a determination regarding responsibility is made at the conclusion of the Formal Complaint Resolution Process
- Of their right to an Advisor
- Of their ability to inspect and review evidence in connection with the Formal Complaint
- Of their obligation to promptly notify the Title IX Coordinator if, at any time, they believe the Title IX Coordinator, Investigator, Hearing Officer, facilitator of any Informal Resolution, Decision-Maker, or Appellate Officer has a conflict of interest or bias
- Of any other provision in a policy or code of conduct (student, faculty, or staff) that may be implicated by the allegations in the Formal Complaint
- Of any Informal Resolution process

If, during the course of an investigation, Carleton decides to investigate allegations about the Complainant or Respondent that were not included in a previous written notice, it will provide notice of the additional allegations to known parties.

## **Grounds for Dismissal**

If, at any time subsequent to the filing of a Formal Complaint, Carleton determines that the conduct alleged, even if proved, would not constitute Sexual Harassment or does not otherwise fall under the jurisdiction of this policy, Carleton will dismiss the Formal Complaint with regard to that conduct. Such a dismissal does not preclude disciplinary action under other Carleton policies.

If, at any time subsequent to the filing of a Formal Complaint, (1) Carleton is notified by the Complainant that they wish to withdraw the Formal Complaint or any allegations therein; (2) the Respondent is no longer enrolled or employed; or (3) specific circumstances prevent Carleton from gathering evidence sufficient to reach a determination; then Carleton may, in its discretion, dismiss the Formal Complaint or a portion thereof.

In the event of the dismissal of a Formal Complaint (or a portion thereof) under this section, Carleton

will promptly notify the Complainant and Respondent in writing.

### **Informal Resolution**

A Formal Complaint that does not involve allegations of an employee engaging in Sexual Harassment of a student may be resolved by Informal Resolution. Informal Resolution may occur any time between the filing of a Formal Complaint and a determination of responsibility.

Prior to any Informal Resolution, both the Complainant and Respondent will be given written notice of: (1) the allegations; (2) the circumstances under which Informal Resolution precludes them from resuming the Formal Complaint Resolution Process, such as voluntarily agreeing to resolution of the Formal Complaint through Informal Resolution; (3) their right to withdraw from the Informal Resolution process and resume the Formal Complaint Resolution Process at any time prior to agreeing to a resolution; and (4) that the Informal Resolution process could result in an agreed-upon sanction, including but not limited to those set forth in Section VI.G.3, below, which may appear in certain records pertaining to that individual.

Carleton will facilitate an Informal Resolution only after the Complainant and Respondent have received such written notice and provided voluntary, written consent to participate in Informal Resolution. Carleton will strive to complete any Informal Resolution within 10 days of receiving such consent. Informal Resolution will involve the parties working together with Carleton personnel to attempt to reach a mediated resolution. More information regarding the mediated resolution process will be provided to parties in the written notice described in this subsection.

### **Investigation**

Following the filing of a Formal Complaint, the Title IX Coordinator shall designate an Investigator for the matter. The Investigator will conduct a prompt, thorough, and impartial investigation and prepare a written Investigative Report. The Investigator will typically meet individually with the Complainant and Respondent at least once during an investigation. The Complainant and Respondent will receive written notice of the date, time, location, and individuals who will be present for any investigative interview or meeting and will be given sufficient time to prepare. The Complainant and Respondent may be accompanied by one Advisor at any investigative interview or meeting.

The Complainant and Respondent may advise the Investigator of any witnesses they believe should be interviewed and any inculpatory or exculpatory evidence including, for example, e-mails, text messages, photographs, video surveillance, and/or other physical, documentary or other evidence.

As the investigation nears its end, the Investigator will provide written notice to the Complainant and Respondent of the pending close of the investigation and a final deadline by which additional evidence or information must be submitted for consideration by the Investigator. The burden of gathering evidence sufficient to reach a determination regarding responsibility rests on Carleton.

### **Investigative Report**

The Investigative Report will fairly summarize the relevant evidence. Following preparation of the Investigative Report, the Complainant and the Respondent will have the opportunity to review the report and to inspect and review any evidence obtained as part of the investigation that is directly related to the allegations raised. The Title IX Coordinator will send to the parties (and any Advisor) the Investigative Report and evidence subject to inspection and review in an electronic format or

hard copy. The parties will have 10 calendar days to submit a written response. The parties may take notes regarding the report. Parties may not make copies, take photographs, or make other recordings or images of the report or evidence. Parties and any Advisor(s) may be required to sign a non-disclosure agreement identifying that the review and use of evidence is permitted solely for the purposes of the sexual misconduct process.

The purpose of this response is (1) to identify any evidence the party believes to be relevant that the Investigator did not include in the preliminary report or initially identify as relevant, and (2) to meaningfully respond to the preliminary report and evidence. The purpose is not to present additional evidence, unless there is new evidence documented in the report that was not known to the party. Each party's response should not exceed 2,000 words in length. The response must be submitted within 10 calendar days after the first day the report has been made available for review. Any response submitted by the party will be made available for the other party. Any written response(s) will be considered by the Investigator before completing the Investigative Report.

After the submission of any such written response, neither the Complainant nor Respondent will be permitted to provide any further evidence, absent extraordinary circumstances as determined at Carleton's discretion.

## **Hearing**

A panel of Decision-Makers, one of whom is the Hearing Officer, hears a Formal Complaint that proceeds to a hearing. If the Respondent is a student, the panel will consist of the Hearing Officer and two other Decision-Makers, who may be Carleton faculty members, staff, or students. If the Respondent is a staff member, the panel will consist of the Hearing Officer and two other Decision-Makers, who may be Carleton faculty or staff. If the Respondent is a faculty member, the panel will consist of the Hearing Officer and two other Decision-Makers, who may be Carleton faculty or staff, but at least one of whom will be a faculty member.

The purpose of the hearing is for the Decision-Makers to objectively evaluate relevant evidence to determine whether or not the Respondent is responsible for engaging in Sexual Harassment. If the Decision-Makers determine that the Respondent has committed Sexual Harassment, they are also responsible for determining appropriate sanctions.

### Preparation for the Hearing

- The Title IX Coordinator or a designee will arrange the administrative details for the hearing, including: (1) selecting the Decision-Makers; (2) arranging a time and place for the hearing; (3) making the Investigative Report and evidence that is directly related to the allegations raised in the Formal Complaint available at the hearing so that both the Complainant and Respondent will have equal opportunity to refer to such evidence during the hearing; and (4) arranging for a Complainant or Respondent who does not have an Advisor to be appointed one.
- The hearing will occur with the Complainant and the Respondent located in separate rooms with technology enabling the Decision-Makers, the Complainant, the Respondent, and any Advisor(s) to simultaneously see and hear any party or witness answering questions.

### Conduct of the Hearing

- The Hearing Officer is responsible for managing the conduct of the hearing and ensuring that procedures are followed. The Hearing Officer facilitates all phases of the hearing and resolves



all questions that arise during the hearing, including but not limited to procedural issues and issues regarding the propriety or relevance of specific questions, arguments, and information presented. The Hearing Officer will also seek to ensure an orderly and fair exchange of information during the hearing and, in the discretion of the Hearing Officer, any Decision-Maker may ask questions of any party or witness. If anyone attending the hearing acts without appropriate respect or decorum, including failure to comply with the Hearing Officer's instructions, the Hearing Officer may take appropriate action, including requiring that person to leave the hearing.

- At the hearing, both the Complainant's Advisor and the Respondent's Advisor will have the opportunity to ask the other party and any witnesses relevant questions and follow-up questions. Only relevant cross-examination and other questions may be asked of a party or witness. Before a Complainant, Respondent, or witness answers a question, the Hearing Officer will determine whether the question is relevant. If the Hearing Officer excludes a question as not relevant, they will orally explain their decision to do so.
- Questions and evidence about a Complainant's sexual predisposition or prior sexual behavior are not relevant unless: (1) they are offered to prove that someone other than the Respondent committed the conduct alleged by the Complainant; or (2) they concern specific incidents of the Complainant's prior sexual behavior with respect to the Respondent and are offered to prove consent.
- The Decision-Makers will not draw an inference about the determination regarding responsibility based solely on a party or witness's absence from the hearing or refusal to answer cross-examination or other questions.
- An audio recording, audiovisual recording, or a transcript of the hearing will be made and provided to the Complainant and Respondent for review after the hearing.

### Determination & Sanctions

- Following the presentation of information at the hearing, the Decision-Makers will determine whether the Respondent engaged in Sexual Harassment. The Decision-Makers will deliberate in private. In reaching a decision, the Decision-Makers will apply a **preponderance of the evidence standard** and will conclude that Sexual Harassment occurred if it is "more likely than not." The Decision-Makers will reach a decision by majority vote.
- If the Decision-Makers determine that the Respondent engaged in Sexual Harassment, they will deliberate further to determine appropriate sanctions. Carleton may implement any of the Supportive Measures outlined above at any time prior or subsequent to any finding of responsibility. However, disciplinary sanctions and remedies may only be implemented following a determination of responsibility. Such sanctions and remedies may range from a warning to expulsion or termination of employment. Other possible sanctions include required education or training; restrictions on participation in campus activities; change in work schedule or location; disciplinary probation; administrative leave; suspension with or without conditions for return; reassignment of duties; no-contact or limited-contact orders; chemical health assessment; restrictions on campus access, including housing or course enrollment; change of housing; and withdrawal or non-conferral of a degree. Sanctions may be combined.

### Written Determination

- The Decision-Makers will issue a written determination regarding responsibility. The written

determination will include:

- A description of the allegations potentially constituting Sexual Harassment
  - A description of the procedural steps taken from the receipt of the Formal Complaint through the written determination
  - Findings of fact supporting the determination
  - Conclusions regarding application of policy to the facts
  - A statement of, and rationale for, the result as to each allegation, including any determination regarding responsibility and any sanctions or remedies
  - The procedures and permissible grounds for appeal
- The written determination will be provided to the parties simultaneously.

### Appeals

- A Complainant, Respondent, or Title IX Coordinator may appeal: (1) a determination regarding responsibility; or (2) any dismissal of a Formal Complaint or any portion thereof. Appeals are limited to the following grounds:
  - Procedural irregularity that affected the outcome
  - New evidence that was not reasonably available at the time the determination or dismissal was made that could affect the outcome
  - The Title IX Coordinator, Investigator, or Decision-Maker(s) had a conflict of interest or bias for or against complainants or respondents generally or the individual Complainant or Respondent and that conflict of interest or bias affected the outcome
- Appeals must be submitted in writing to the Appellate Officer within three days of receipt of the written determination or dismissal. When an appeal is filed by a party, Carleton will provide notice to the other party and an opportunity to respond to the appeal in writing within three days.
- If the Respondent is a student, the Dean of Students (or their designee) will serve as the Appellate Officer. If the Respondent is a staff member, the Vice President and Treasurer (or their designee) will serve as the Appellate Officer. If the Respondent is a faculty member, the Dean of the College (or their designee) will serve as the Appellate Officer.
- The Appellate Officer will issue a written decision describing the result of the appeal and the rationale which will be provided to both parties simultaneously. A determination of responsibility or dismissal becomes final either on the date that the Complainant or Respondent receives the written determination of the result of any appeal or the expiration of the deadline for any appeal.

## **VII. Retaliation Prohibited**

Carleton prohibits retaliation against any individual who makes a report, testifies, assists, participates, or refuses to participate in any manner in an investigation, proceeding, or hearing under this Policy.

## VIII. Privacy, Confidentiality, and Record Retention

Carleton will strive to maintain the privacy of all parties involved with a sexual misconduct allegation to the fullest extent possible. Maintaining privacy means that only individuals who need to know information about a matter will have access to it and that information will be handled with sensitivity. Publicly available records will not identify the parties.

Records relating to sexual misconduct allegations and investigations will be retained by the College for seven years.

## IX. Related Policies

Carleton has additional or related policies that may overlap and intersect with this Policy Against Sexual Misconduct, including:

- [Statement on Consensual Relations](#)
- [Minors on Campus Policy](#)
- [Community Standards Policy](#)
- [College Statement of Non-Discrimination](#)

## X. Miscellaneous

This Policy is not a contract nor is it possible for Carleton to contemplate every situation in which it may be required to respond. Nothing in this Policy prohibits Carleton from taking action to address a particular situation in accordance with applicable law.

*For further information, please see the [Sexual Misconduct Prevention and Response Web site](#).*

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For [Faculty](#), [General Public](#), [New Students](#), [Prospective Students](#), [Staff](#), [Students](#)

**Last Reviewed: Sep 22nd, 2021**

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Maintained by Dean of Students

## Presence of Children and Minors on Campus and Participating in Campus Events, Activities, and Programs

### I. PURPOSE, SCOPE AND DEFINITIONS

#### A. Purpose

Carleton College is committed to the safety and well-being of children. This policy states Carleton College's rules with respect to children and minors participating in campus programs, events and activities on campus.

Carleton College has zero tolerance for child abuse and has adopted a separate Policy on Reporting Suspected Child Abuse. Please refer to that [policy](#) for information regarding how to report suspected child abuse.

#### B. Scope

This policy applies to all students, faculty, and staff of Carleton College; campus visitors; and

individuals or organizations engaging in or conducting activities associated with Carleton College or doing business at or with Carleton College and is available through Carleton's website. This policy applies to "Carleton Facilities," which includes the Carleton College campus, all properties owned or leased by Carleton College, and all off-campus locations, including study abroad programs, at which students, faculty, or staff or other Associated Individuals participate in College-sponsored activities.

### **C. Definitions**

1. "Child, Children, Minor, and Minors." For the purposes of this policy, the terms "child," "children," "minor," and "minors" refer to or describe individuals under the age of 18.
2. "Associated Individual." For purposes of this policy, an "Associated Individual" is any individual or organization engaging in or conducting approved activities associated with Carleton College or doing business at or with Carleton College.
3. "Program Sponsor." For the purposes of this policy, the term "Program Sponsor" is the department or individual controlling the event or program.

## **II. REGISTRATION OF COLLEGE EVENTS AND PROGRAMS INVOLVING CHILDREN**

Registration: All College departments that oversee, sponsor, direct, approve or control events or programs involving children shall [register](#) each such event or program with the College. Registration should occur at least 30 days prior to the event's or program's commencement. Carleton College may, in its discretion, refuse permission for an event or program involving children on Carleton Facilities.

### **III. Responsibility for Children**

Carleton College is an institution of higher education. Carleton facilities are generally not an appropriate environment for minors unless they are matriculated students or enrolled in a program specifically designed for children and appropriately supervised by adults with the proper training and credentials. However, Carleton College recognizes that faculty, staff, students, and other adults may on occasion bring a child to campus for limited periods of time. In doing so, students, faculty, and staff must recognize and respect the needs of other community members for a quiet and productive work and educational setting.

#### **A. Supervision Required**

Faculty, staff, students, and other adults who bring a child to Carleton facilities maintain the sole responsibility for the safety of that child. No child may be left alone on campus at any time for any reason. The responsible adult is accountable for the child's safety and behavior and must ensure that the child complies with the directions of College personnel. Faculty, staff, students, and other adults are discouraged from asking a student, student employee or anyone else to assume their responsibility for supervising a child who is on Carleton facilities. Carleton facilities may not be used for unsupervised child care. Faculty or staff who use Carleton facilities for supervised child care maintain responsibility for that child's safety.

The College retains the right in its sole discretion to prohibit faculty and staff from bringing a child on Carleton facilities who is not participating in a College program. There are risks to bringing children to campus and to College-sponsored events. Faculty, staff, students, and other responsible adults are responsible for any and all injuries or damages sustained to or by a child accompanying them while on Carleton facilities or on College-sponsored trips or other events.

## **B. Revocation**

Allowing faculty, staff, students, and other adults to bring a child on Carleton facilities campus or on College-sponsored trips is a privilege extended by Carleton College. The College may revoke this privilege at its discretion at any time for any reason, including the College's determination that the provisions of this policy have been violated, the privilege has been abused, the child's presence poses a safety risk to the child or others, or the child's presence is interfering with the College's learning environment. Anyone who is concerned with the presence of a child on campus or at a College-sponsored activity should report the concerns to one of the individuals listed below.

## **IV. EVENTS AND PROGRAMS ON CAMPUS**

### **A. College-Sponsored Events**

Carleton College sponsors a number of events in the performing arts, athletics, and other areas that are open to children. The College welcomes the presence of children on campus for these events. In order to ensure their safety and that of other guests, Carleton College requires that the parent or legal guardian agree to the following conditions for the child's participation:

1. Carleton College is not responsible for the supervision of a child who attends a campus event, unless the event sponsor states in writing that supervision by College staff will be provided.
2. Children must remain in the area of campus where the event is located.
3. The adult responsible for a child is also responsible for the child's behavior and actions and for any damage caused by the child.
4. If a child attending a Carleton College event or program needs an accommodation for a disability or other special need, the responsible adult must submit a request for accommodation to the Office of Disability Services.

### **B. College-Sponsored Programs**

Carleton College periodically sponsors programs specifically designed for children. The College requires that all adults interacting with the children in these programs have appropriate training and credentials, and have satisfied Carleton College's requirements for program participation. All programs must comply with the safety practices stated below. Any person who observes any action or inaction in violation of these practices should report the incident immediately to the Program Director or supervisor or, if appropriate, to campus security.

1. All program staff (paid and volunteer, including Carleton College student staff members) must follow instructions they receive regarding maintaining professional boundaries at all times when working with children in the program. All staff must complete the Carleton required online training course. The Program Director will provide the log-in for the course and be responsible for ensuring every staff member has completed it.
2. Parents or legal guardians of participants in College-sponsored programs must sign release waivers before a child will be permitted to participate in the program.
3. Program sponsors should determine the appropriate ratio of staff to children and follow that ratio. In all cases, any ratios mandated by law must be followed.
4. Program staff must inform another staff member when they are taking children out of the program room or area for any reason.
5. Except in emergency or other exigent circumstances, no child should ever be left alone with a single staff member.

6. As much as possible, no child participating in a Carleton College sponsored program should be left alone on campus at any time or for any reason.
7. Employees working in the program may take photographs of children in the program only for program-related purposes and only if the child's parent or legal guardian has signed an authorization permitting photographs to be taken of the child.
8. Program directors must ensure that all appropriate forms, including permission forms, medical contact information and liability waivers, on file and readily available.

### **C. Programs and Events on Campus Sponsored by Other Entities**

Carleton College approves selected outside individuals and entities to rent College facilities for programs/events specifically designed for or including children, such as athletic programs, dance, and academic programs.. Through its contract process, the College requires the sponsoring entity to maintain specified insurance coverage, including sexual abuse/molestation liability insurance coverage. Program sponsors will be responsible for ensuring that the College-approved facility use contract, verification of insurance, and other necessary waiver compliance documents have been executed by the outside entity and are on file with the appropriate College office.

## **V. PROGRAMS AND TRIPS OFF CAMPUS**

### **A. General**

Through Carleton College's service learning, community service, internships, field trips, student teaching and other programs, faculty, staff, and students are engaged in many off-campus activities involving children. All Carleton participants in such programs will be required to comply with Carleton policies in the same manner and extent as if these programs were conducted on campus. If the off-campus program host or sponsor organization has additional requirements, the Carleton participants will be responsible for knowing and complying with those requirements as well.

### **B. Carleton College Sponsored Trips**

Students, faculty and staff may take their own child(ren) on College-sponsored trips under the following conditions:

1. The student, faculty or staff member wishing to take his/her child must obtain prior written approval from the person responsible for supervising the trip.
2. Requests of a student, faculty, or staff member to take a child on a Carleton College Sponsored Trip may be denied in the discretion of the College for any reason, including concern that the child's presence could negatively affect the program or ability of the student, faculty or staff member to participate in or perform his or her responsibilities during the program.
3. The student, faculty, or staff member is responsible for all trip expenses of the child.
4. The student, faculty, or staff member must drive or ride in the same vehicle as the child.
5. The child must be included on any roster of trip attendees.
6. Student, faculty, or staff members who take a child on a College-sponsored trip are responsible for the child's behavior and any and all injuries, liabilities, and/or damages sustained to or by the child.

### **C. Study Abroad**

Faculty must consult with the Office of Campus Studies in advance regarding their child's

participation in trips or other activities associated with study abroad programs. Carleton College in its discretion may determine that participation by a child in such a program is not appropriate.

## **VI. ACADEMICS, RESIDENTIAL LIFE & EMPLOYMENT**

### **A. Minor Students in Classes, Labs, and Study Abroad Programs**

Some students in Carleton College classes, laboratories, and study abroad programs are minors. Minors who take courses and/or participate in College programs are expected to follow course requirements and comply with the College's community standards policies and behavioral expectations. Minors and their parents or legal guardians should be aware that Carleton College courses are not specifically designed for minors and may include activities, conversations, or topics that would not normally be presented to minors. Carleton College is not responsible for ensuring that course content is appropriate for minors.

Prior to commencement of classes and programs each term, the Registrar's Office will notify faculty members of the students enrolled in their courses who are minors. Faculty members who have questions about the participation of minors in their classes or out-of-classroom events and programs should contact the Dean of the College Office. The parents or legal guardians of minors, who wish to audit, volunteer or participate in College classes and laboratories must sign a permission and waiver form.

### **B. Minors Who Live on Campus**

Because some enrolled students start school before they have attained the age of 18, Carleton College sometimes has minors living in residence halls. Minors living in residence halls are expected to follow the same rules as all other Carleton College students. Before minors move into a residence hall, the residence hall staff members will be notified of the student's status as a minor and birth date. Residence hall staff members shall be mindful of the minor status of such students and consider whether any special measures or precautions are necessary with respect to such students. Staff members who have questions about minors living on campus should contact the Dean of Students.

### **C. Employment of Minors**

Occasionally, Carleton College may hire a minor to fill an employment position or a student work position. The Student Financial Services Office and Human Resource Office must authorize the hiring of any minor. Carleton College complies with applicable law with respect to the employment of minors. In the event that a minor is hired by Carleton College, the Student Financial Services Office or Human Resources Office will inform the supervisor that the employee is under age 18 and will help determine whether any particular steps or limitations are necessary because of the employee's age. Minors may not be assigned to work alone or without close supervision without written approval of the Student Financial Services or Human Resources Office.

## **VII. OVERNIGHT VISITS INVOLVING MINORS**

### **A. General Rules**

Students residing in College-owned housing are welcome to host overnight guests provided that they comply with the Carleton College [Residential Life Guest Policy](#). All guests (including guests under the age of 18) must agree to abide by applicable rules related to the campus guest policies. In addition, the parent(s)/guardian(s) of guests who are under the age of 18 must sign a campus visit permission and waiver form, which must be provided to the director of the residence hall prior to

the guest's overnight stay.

### **B. Overnight Visits by Prospective Students**

Carleton College sometimes arranges for prospective students to visit the campus on an overnight stay. All visits by prospective students should comply with the Carleton College Admission Office Overnight Visit Policy and must be approved through the Carleton College Admission Office. Prospective students who are staying overnight (and their parent or legal guardian if the prospective student is a minor) will be required to sign a campus visit waiver and must agree to abide by all rules related to overnight visits. The College will assign a responsible adult in the residence hall to be available as needed to provide assistance to the prospective student during the overnight visit. Students serving as a host to a minor during an overnight visit are required to comply with the Carleton College Community Standards policy. The student host must remain with the student during the overnight visit.

### **C. Camps and Conferences with Overnight Guests**

The rules regarding overnight stays by minors in connection with Carleton College camps and conferences will be determined by the directors of the camps and conferences involved, in consultation with the Risk Manager. Generally, minors who are not registered for such programs will not be allowed to stay overnight as a guest without written permission by the camp or conference director. Outside entities hosting camps and conferences on campus must follow the standards established by Carleton College with respect to such overnight stays.

## **VIII. TRAINING**

Carleton students, faculty, staff, and volunteers who participate in College-run or affiliated programs or activities involving minors must complete the Carleton [online training](#). Training may be expanded depending upon the program or activity and the person's role in the program or activity.

All Carleton participants in non-Carleton organizations are required to comply with the child protection requirements of the off-campus site where the activities occur, including requirements related to training and criminal background checks in addition to the Carleton training.

## **IX. CONTACT INFORMATION**

Director of Human Resources: Kerstin Cardenas, [kcardenas@carleton.edu](mailto:kcardenas@carleton.edu), 507-222-4068

Risk Manager: Randie Johnson, [rajohnso@carleton.edu](mailto:rajohnso@carleton.edu), 507-222-4178

Dean of the College: Gretchen Hofmeister, [ghofmeis@carleton.edu](mailto:ghofmeis@carleton.edu), 507-222-4303

VP for Student Life & Dean of Students: Carolyn H. Livingston, [clivingston@carleton.edu](mailto:clivingston@carleton.edu), 507-222-4248

Off Campus Studies Office: Helena Kaufman, [hkaufman@carleton.edu](mailto:hkaufman@carleton.edu), 507-222-4349

If you have questions, about this policy, you should speak with the Director or Human Resources or the Dean of Students.

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*Executive Committee of the Board of Trustees*

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Last revised June 1, 2016

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For [Faculty](#), [Staff](#), [Students](#)



## **Procedures for Investigating Reports of Discrimination or Harassment**

Below are the Procedures for Investigating Reports of Discrimination or Harassment. These procedures do not apply to allegations of sexual misconduct; those allegations are addressed by the separate [Sexual Misconduct Procedures](#).

### **Procedures**

The College will investigate all reports of a violation of the [College's Statement of Non-Discrimination](#). Reports to the Designated Person or [Title IX Coordinator](#) initially may be made orally or in writing, though all reporters will be required to describe the bases for the report in writing or to confirm the accuracy of a written statement of the report to be investigated. The appropriate Designated Person (depending on whether the report was made by a student, faculty member or other employee or visitor) will be responsible for coordinating the investigation.

Both parties will be given the opportunity to present evidence and to discuss their perspectives regarding the reported incident(s). To the extent possible consistent with College's commitment to perform a full and fair investigation and to take appropriate remedial action, if needed, the College will keep the complaint and investigation confidential. In evaluating whether the investigation establishes a violation, the College will apply the preponderance of evidence standard (i.e. whether the investigation indicates that it is more likely than not that the College's Statement of Non-Discrimination was violated).

The Designated Person or a designee will provide both parties with periodic updates regarding the progress of the investigation and written notice of the outcome. The College will typically complete its investigation within 45 days of receiving the report. If the College's Statement of Nondiscrimination was violated, the College will take action to stop the harassment, prevent its recurrence and assist persons affected by the violation. The College will take prompt disciplinary action against any employee or student found to have violated the College's Statement of Non-Discrimination. Examples of possible discipline include written warning, suspension, probation, expulsion and termination of employment.

### **Appeal**

Both the reporting party and the person alleged to have committed the violation may appeal the outcome of the investigation on either or both of the following bases: 1) relevant new information not available during the investigation, that would have substantially impacted the final decision; or 2) sanctions that are substantially inconsistent with past institutional responses and College policy.

Appeals will be decided by a Designated Person not involved in the investigation that is the subject of the appeal, selected by the College. For example, appeal of a decision regarding a student report will be decided by the Designated Person for faculty reports or the Designated Person for reports by other employees or visitors.

Appeals must be made in writing to the appropriate Designated Person responsible for coordinating the investigation within 14 calendar days of receipt of the outcome of the investigation. A Party's

right to appeal is contingent upon that Party's good faith cooperation with the investigation. Appeals generally will be decided within 21 calendar days.

## Retaliation Prohibited

The College prohibits retaliation against any person who reports in good faith a violation of this Statement or who participates in good faith in the investigation of a report. Any person who retaliates against an individual in violation of the policy will be disciplined, including possible expulsion or termination of employment.

## Assistance From the Office of Disability Services

A student or employee may request assistance during the investigation and/or resolution process from the Office of Disability Services if needed.

## Responsible Persons

All Deans, Associate Deans, Department Chairs, Directors, Associate Directors, House Managers, and the Director of Disability Services are required to report promptly incidents of discrimination and harassment to the appropriate Designated Persons.

Please note that incidents involving violations of the College's Policy Against Sexual Misconduct should be reported as provided in that policy.

## Record Retention

Records regarding reports and investigations of alleged violations of this Statement will be retained by the College for seven years. The Title IX Coordinator will be advised of all reports of violations of the College's Statement of Non-Discrimination and of the outcomes of the investigations.

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Last revised May 20, 2016

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For [Faculty](#), [Staff](#), [Students](#)

**Last Reviewed: May 1st, 2019**

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Maintained by Human Resources

## Reporting Suspected Child Abuse

### I. PURPOSE, SCOPE, AND DEFINITIONS

#### A. Purpose

Carleton College strives to safeguard the well-being of Minors visiting campus and/or participating in College-sponsored programs. As a result, this Policy on Reporting Suspected Child Abuse addresses Carleton College employee mandatory reporting obligations when child abuse is suspected.

#### B. Scope

This policy applies to all students, faculty, staff, and associates of Carleton College. The policy applies to the Carleton College campus, all properties owned or leased by either Carleton College, and all off-campus sites at which students, faculty, or staff or other associated individuals of either

institution participate in College sponsored activities, including study abroad programs.

### **C. Definitions**

1. "Abuse." "Abuse" of a child includes any physical, mental or threatened injury other than by accidental means, including aversive or deprivation procedures or acts of sexual abuse. Sexual abuse includes criminal sexual conduct, soliciting a child to practice prostitution, receiving profit from prostitution by a child, hiring or agreeing to hire a child as a prostitute, and using a child in a sexual performance or pornographic work.
2. "Child." For the purposes of this policy, a "child" is any minor, defined by law as an individual under the age of 18. "Associate." For purposes of this policy, an "associate" is any individual or organization engaging in or conducting activities associated with Carleton College or doing business at or with Carleton College.
3. "Neglect." "Neglect" is the commission or omission of any of the following acts other than by accidental means:
  - Failure by a person responsible for a child's care to supply a child with food, clothing, shelter, health, medical or other care;
  - Failure to protect a child from conditions or actions that seriously endanger the child;
  - Failure to provide for necessary supervision or child care for the child;
  - Failure to provide for the child's education;
  - Prenatal exposure to a controlled substance;
  - Withholding medical treatment;
  - Chronic and severe use of alcohol or a controlled substance that adversely affects the child's basic needs and safety; or
  - Emotional harm which contributes to the impaired emotional functioning of the child.
4. "Suspected" means having a good-faith basis to believe that Abuse or Neglect of a Child in violation of this policy has occurred. First-hand observation, a complaint or certainty is not required.

## **II. REQUIRED REPORTS OF MALTREATMENT OF CHILDREN (PHYSICAL ABUSE, SEXUAL ABUSE, OR NEGLECT)**

### **A. ALL EMPLOYEES, ASSOCIATES AND STUDENTS MUST REPORT SUSPECTED CHILD ABUSE**

All Carleton College students, faculty, staff, and associates who suspect that a child on campus is experiencing, or has experienced in the previous three years, any physical or sexual abuse are required to immediately report the issue to law enforcement or social services. For non-emergency issues, reports may be made to Campus Security who will help file an official report with law enforcement or social services.

While Minnesota law requires the reporting by certain professionals at the College, such as educators (including faculty, instructors, coaches, deans, etc.), health care providers, and others, the College policy extends this reporting obligation to all employees, students, and associates.

Students, faculty, staff, and associates are required to make reports of suspected physical or sexual abuse or neglect regardless of whether they witnessed the suspected abuse directly or whether the suspected abuse was reported to them by another individual.

In addition to the reports of child abuse that are required by this policy, students, faculty, staff, and associates are strongly encouraged to report any verbal or other conduct by students, faculty, staff,

or associates towards a child that may cause emotional harm to the child.

If you have questions about your duties as a mandatory reporter, you may seek assistance from the Human Resources Director, or the Title IX Coordinator.

## **B. HOW TO REPORT**

If you know or suspect that a child is in immediate danger:

- call 911 immediately

If a child is not in immediate danger:

- call campus Security at 507-222-4444, Northfield Police at 911 or 504-645-4477, and/or Rice County Human Services at 507-645-9576.

## **C. REPORTS OF CHILD PORNOGRAPHY REQUIRED.**

Possession of Child Pornography is a crime for which Carleton College has zero tolerance. Any Carleton College student, faculty, staff, or associate who suspects that a Carleton College student or employee is in possession of or accessing child pornography on the college campus, in connection with any Carleton College event, or by using college property including, but not limited to: computers, servers, phones, cameras or other resources, must immediately report their concerns. A mandatory report to the police, the county sheriff, or the Rice County Human Services is also required.

## **D. NO RETALIATION**

Carleton College will not retaliate against any student, faculty or staff who makes a good faith report of suspected child abuse under this policy, and retaliation by any community member (student or employee) is strictly prohibited. Encouraging others to retaliate also violates this Policy. Any student, faculty, or staff member who feels they have been retaliated against for making a report under this policy or for participating in an investigation should contact the Human Resources Director.

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*Executive Committee of the Board of Trustees*

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Last revised June 1, 2016

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For [Faculty](#), [Staff](#), [Students](#)

**Last Reviewed: Jan 4th, 2021**

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Maintained by Dean of Students

## **Security Escort Service**

The Department of Security Services provides security escorts for Carleton students, faculty, and staff. The escort service is available at any time and between all locations within college-owned property and the area immediately surrounding the campus. For escort service, call ext. 4444.

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For [Faculty](#), [Staff](#), [Students](#)

**Last Reviewed: Jan 6th, 2021**

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Maintained by Human Resources

## Slack Lines / Tightropes

Carleton College works to provide a safe environment for our students and protect College property. Slack lining can be dangerous if done in a reckless manner. Slack lines can also pose a risk to other students when left between trees overnight.

Any student wishing to install a slack line on campus must obtain permission from Carleton's Ground Manager in the Facilities Office prior to installing the slack line. Slack lines cannot be more than 3 feet above the ground. Slack lines must be removed before dark on the same day as installation. Any slack line found unattended will be removed and discarded.

Students assume the risk of injuries associated with slack lining or tightrope walking on the Carleton College Campus. Risks of injuries include, but are not limited to, injuries sustained falling from the slack line (i.e., broken bones, fractures, dislocations, sprains, etc.), injuries sustained installing or removing the slack line, (i.e., rope burns, lacerations, broken bones, dislocations, sprains, etc.) and any and all injuries sustained as an observer or casual participant.

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Last revised September 12, 2011

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For [New Students](#), [Prospective Students](#), [Students](#)

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**Last Reviewed: Feb 2nd, 2022**

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Maintained by Student Activities

## Smoking

Carleton College recognizes that using tobacco products is harmful to the health of tobacco users and that exposure to second-hand smoke poses a health risk to non-smokers. The College complies with all applicable state and federal regulations pertaining to smoking.

The College acknowledges that smoking is a personal choice and that some students, faculty and staff choose to smoke.

The College is committed to providing educational programs to assist its students and employees in making healthy lifestyle choices.

## Public Spaces and Private Offices

Smoking and the use of e-cigarettes (which includes vapes, pens, hookah, etc.) is prohibited in all indoor public spaces, including but not limited to: all classrooms, lounges, bathrooms, vending areas, hallways, indoor athletic facilities, dining halls and social spaces such as Sayles-Hill "Great Space" and The Cave. Smoking and the use of e-cigarettes is also prohibited in private offices. There are designated smoking areas outdoors.

## Residential Living Spaces

Smoking and use of e-cigarettes is prohibited in all residential facilities including student rooms, restrooms, lounges, hallways, and stairwells.

*All entrances, exits, ground floor windows, and areas around air intake vents of campus buildings are to be smoke free.* To prevent the problem of building entryways from becoming smoke-filled,

those who smoke must be at least 50 feet from the entrance. This policy is concurrent with Minnesota law.

## Student Violations

Students who violate any aspect of the smoking policy will receive disciplinary sanctions and life safety fines.

Minimum fines are:

- First violation: \$250 fine/per person
- Second violation: \$500 fine/per person
- Third violation: \$1,000 fine/per person

Any student found in violation of the [Alcohol and Other Drugs Policy](#) (e.g., marijuana) may also be found in violation of the smoking policy.

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*Smoking Policy adopted February 1996.*

*Approved by College Council, May 2002. Approved by the Executive Committee of the Board of Trustees June 2002.*

*Revision approved by College Council February 23, 2004. Approved by the Board of Trustees June 2004.*

*Reviewed and updated August 2011.*

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Last revised August 1, 2011

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For [Alumni](#), [Faculty](#), [Families](#), [General Public](#), [New Students](#), [Prospective Students](#), [Staff](#), [Students](#)

**Last Reviewed: Aug 18th, 2020**

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Maintained by Human Resources

## Sports Involving Repeated Blows to the Head

Any sport or physical activity involving repeated blows to the head is not permitted on College property without written permission from the College's Risk Management Officer.

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*Approved 4/8/2014 by Campus Recreation, Student Activities, and the College's Risk Management Officer (Randie Johnson).*

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Last revised April 8, 2014

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For [Faculty](#), [General Public](#), [Staff](#), [Students](#)

**Last Reviewed: Feb 19th, 2021**

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Maintained by Business Office

## Surveillance Camera Guidelines

## **Purpose**

Carleton College is committed to enhancing the quality of life of the campus community by integrating the best practices of safety and security with technology. A critical component of a comprehensive security plan is the utilization of a surveillance camera system. The surveillance of public areas is intended to deter crime and assist in protecting the safety and property of the College. It is an extension of the college's law enforcement function even though it is managed by Auxiliary Services.

These guidelines address the College's safety and security needs while respecting individual privacy of those attending, working or visiting Carleton College. To ensure the protection of individual privacy rights and related state and federal laws, this statement formalizes the process of installing surveillance equipment on College property. Additionally, these guidelines pertain to the viewing, retention, dissemination, and destruction of recordings.

## **Installation Procedures and Locations**

The use of surveillance cameras is limited to uses that do not violate a person's "reasonable expectation of privacy", as that term is defined by law. All surveillance cameras, including those in temporary locations or for active monitoring, will only be installed with the advance approval of the Director of Security Services and the appropriate College vice president. The College's use of surveillance cameras for monitoring or recording must be used in a professional, ethical, and legal manner consistent with all existing College policies. Although not legally required to do so, the College will inform student employees when surveillance cameras are utilized in the workplace.

The College will limit camera positions and views of certain areas. Any view within a residential area will be no greater than what is available with unaided vision. Surveillance cameras will not view private bedrooms, bathrooms, locker room dressing/shower areas, offices, classrooms not used as a lab, or areas through windows. Surveillance cameras will be installed and configured to prevent tampering with or duplicating recorded information. All new installation of surveillance cameras must connect to the College's main system.

## **Viewing**

Only authorized personnel, as determined by the Director of Security Services and appropriate College vice president, will be involved in, or have access to, surveillance monitoring. The existence of this policy does not imply or guarantee that cameras will be monitored in real time 24 hours a day, seven days a week, however the College reserves the right to do so.

## **Retention and Release of Information**

Images obtained through surveillance monitoring or recording will be retained for a length of time deemed appropriate for the purpose of monitoring, but not to exceed 90 days, unless such images have historical value, or are being used for a criminal and/or judicial investigation in accordance with this policy. Surveillance recordings will be stored in a secure location with access by authorized personnel only.

College personnel are prohibited from using or disseminating information acquired from surveillance cameras except for official purposes. All information and/or observations made in the use of

surveillance cameras are considered confidential and can only be used for official College and law enforcement purposes. Information and results obtained through surveillance monitoring or recording will only be released when authorized by the Director of Security Services and the appropriate College vice president.

All requests from sources external to the College for the release of information and results obtained through surveillance monitoring or recording must be submitted to the Director of Security Services.

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Last revised July 1, 2013

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For [Alumni](#), [Faculty](#), [Faculty Emeriti](#), [Families](#), [General Public](#), [New Students](#), [Prospective Students](#), [Staff](#), [Students](#)

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**Last Reviewed: Dec 9th, 2019**

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Maintained by Auxiliary Services

## Unlawful Use of Drugs and Alcohol

### Introduction

The Drug-Free Schools and Communities Act Amendments of 1989 (Public Law No. 101-226) require colleges and universities to adopt a program to prevent the use of illicit drugs and the abuse of alcohol by students and employees.

See [Drug-Free Workplace policy](#).

All Colleges and universities must give notice to each student and employee that unlawful use of drugs and alcohol is prohibited, describe applicable legal sanctions and health risks, list counseling programs available, and advise students and employees that violation of this policy could lead to penalties up to and including expulsion from the College, termination of employment, and/or referral to civil authorities for prosecution.

The College is committed to maintaining a campus and workplace environment where members may live, learn, and work free of the deteriorating effects of drug and alcohol abuse. To this end the College carries out drug and alcohol abuse education and prevention programs.

### Policy Requirements

The unlawful possession, use or distribution of illicit drugs and alcohol by faculty, staff, or students on College property or as part of any of its activities is absolutely prohibited. Carleton College grants permission for reasonable and lawful consumption of [alcohol at registered College events](#) when served by a licensed caterer such as Bon Appétit.

### Legal Sanctions

In addition to disciplinary sanctions by the College, students and employees who violate the law maybe subject to criminal prosecution under federal, state and local laws that specify imprisonment and fines for conviction of alcohol and drug-related offenses. The seriousness of the offense and penalty imposed generally depends on the type and amount of substance involved. The following links are provided to ensure awareness of legal sanctions:

[Provisions of the Federal Controlled Substance Act, 21 U.S.C. 801 et al](#)

[Federal Trafficking Penalties](#)

[MN Controlled Substances Laws and Sanctions](#)

[MN Underage Alcohol Offenses](#)

[Northfield City Codes & Ordinances](#)

### College Consequences



Any faculty, staff, or student found in violation of this policy will be subject to disciplinary actions by the College up to and including expulsion from the College, termination of employment, and/or referral to civil authorities for criminal prosecution. The College may also require participation in an appropriate drug or alcohol assistance or rehabilitation program.

### **Risks to Life and Health**

Abuse of drugs and alcohol leads to impaired behavior and judgment, a jeopardizing of relationships, and the likelihood of deteriorated work performance. Associated health risks include increased risk of accidental injury or death, depression, suicide, brain damage, heart and respiratory failure, liver damage, and sexually transmitted disease due to impaired sexual decisions.

### **Counseling, Treatment and Rehabilitation**

Drug or alcohol counseling, treatment and rehabilitation/re-entry programs for faculty, staff, and students are available from a variety of sources. Anyone who recognizes a personal drug or alcohol problem, is concerned about another student or co-worker, or who may wish to know more about drug and alcohol abuse may contact:

#### **Internal Sources**

##### **Students**

Dean of Students Office, ext. 4248 or 4075  
Residential Life, ext. 5465  
Student Health and Counseling, ext. 4080  
[Office of Health Promotion](#), ext. 5246 or 5587

##### **Faculty and Staff**

Dean of the College, ext. 4303  
Human Resources Office, ext. 7471  
[Employee Assistance Program](#) with Health Partners

#### **External Sources**

[Alcoholics Anonymous](#)  
[Omada Behavioral Health Services](#) HCI in Northfield  
[Rice County Mental Health & Chemical Dependency](#)  
[Dakota County Chemical Health](#)  
[Northfield City Codes & Ordinances](#)

##### **Biennial Review**

Human Resources, the dean of students, and the dean of the college will conduct a biennial review of the College's Drug and Alcohol Abuse Prevention Program to determine its effectiveness, implement needed changes, and insure consistent enforcement of disciplinary sanctions.

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Last revised January 1, 2003

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For [Faculty](#), [Staff](#), [Students](#)

**Last Reviewed: Jan 13th, 2020**

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Maintained by Human Resources

## **Use of Unmanned Aircraft Systems (Drones) On and Off Carleton's Campus**

**Policy Statement**

This policy exists to ensure safe and proper operation of Unmanned Aircraft Systems (UAS), commonly referred to as drones, for the benefit of the Carleton community. The conditions outlined here are in addition to Federal or State requirements.

**All UAS operation must be in compliance with [FAA regulations](#) and [State of Minnesota regulations](#). In addition...**

**On-campus operations of a UAS:**

- 1) Must be conducted for purposes that benefits Carleton academics, public relations, communications, formally sanctioned programs or Carleton endorsed commercial reasons. *Recreational use of UAS is prohibited on Carleton property and in airspace over Carleton property.*
- 2) Must be conducted by or under the direct supervision of a pilot with a current FAA Remote Pilot's Certificate. The certified pilot must either be Carleton faculty or professional staff or be under the direct supervision of Carleton faculty or professional staff. UAS [Northfield AirSpace](#) map is available for your reference.
- 3) Requires that the certified pilot must serve as the Pilot in Command as defined by [UAS Pilot Certification Standards](#).
- 4) Requires that Carleton owned UAS' must be insured through Carleton's Business Office.
- 5) Requires that contractors or other third parties are hired or otherwise requested to use a UAS for purposes associated with a Carleton facility or event, the organizing department shall contact the [Risk Manager](#) to insure that the UAS owner and operator has adequate liability insurance and take the risk mitigation arrangements deemed appropriate.
- 6) Requires the Pilot's FAA license, [FAA Drone Registration](#), and Certificate of Insurance must be on record with Carleton's Risk Manager and the Security office prior to any flight. (To ensure processing time, it is recommended that these documents be submitted no fewer than seven (7) days prior to the flight date). Additionally, while operating the UAS on campus, all non-Carleton faculty/staff must be able to immediately produce the written approval from Carleton's Risk Manager. [The Permission Request and Document Submission Form is available here.](#)
- 7) Requires that all UAS pilots must have written permission from the director of the associated Carleton department or location supervisor. For example: flying in Carleton's arboretum must have written permission from the [Director of the Arboretum](#); flights involving athletics would require permission from the [Athletic Director](#).
- 8) Requires that any UAS flight must be preceded by notifying [Campus Security](#) with exact flight times and location.
- 9) Requires that any injuries or any damage to Carleton property that results from or is related to drone operation--no matter how minor--must be immediately reported to the Carleton Security office.
- 10) Requires that operators must be able to present an up to date Flight Log and Maintenance Schedule, and verification of inspection within last calendar year, upon request. [Sample Flight Log](#). [Sample Maintenance Schedule](#).

**Off-Campus Operations of a UAS:**

- 1) This sections applies to domestic and international drone flights.
- 2) Must adhere to rules outlined for On-Campus operations of a UAS.
- 3) Must be preceded by the Pilot in Command thoroughly reviewing all applicable laws and regulations for UAS operations at off-campus location.
- 4) Must be preceded by Pilot in Command obtaining written permission from the appropriate off-campus property manager and/or local authorities, where applicable.

## **Prohibited Use**

1. **Recreational use of UAS is prohibited on Carleton property and in airspace over Carleton property.**
2. A UAS will not be used to monitor or record areas where there is a reasonable expectation of privacy in accordance with accepted social norms. These areas include but are not limited to student housing, restrooms, locker rooms, changing or dressing rooms, or health treatment rooms. “Surreptitious intrusion” or use of an “observation device” may be prosecuted under [Minnesota Statute 609.746 Interference with Privacy](#).
3. Carleton strictly prohibits flying any UAS/Drone indoors 1) without carefully planning safety protocols, 2) having those protocols approved by Carleton’s Risk Manager, 3) and if the drone wights 55 lbs or more.

The College may, at its discretion, suspend any UAS activity deemed as dangerous, or otherwise interfering with, or interrupting the operations of the College. Should a discrepancy between College policy and FAA regulations exist, the more restrictive regulation will govern.

This policy will be reviewed annually by the Business Office and Carleton’s FAA certified UAS Pilots.

Last Reviewed: February, 2021 Business Office

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Last revised February 3, 2021

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For [Faculty](#), [Staff](#), [Students](#)

**Last Reviewed: Feb 3rd, 2021**

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Maintained by Business Office

## **Workplace Safety**

Carleton College is responsible for furnishing its employees a safe place of employment, free from hazards, causing or likely to cause, injury or serious physical harm. For the safety of its students, faculty, staff, and guests, Carleton will exercise its right to prohibit firearms on campus, including at all public events. Each employee has an obligation to comply with all safety and health standards, rules, regulations or orders issued by the College as well as those of the Federal Occupational Safety and Health Act. Working conditions judged to be unsafe should be immediately reported by the employee to his or her supervisor or department head, and the supervisor then is responsible

for reporting the problem to the director of facilities for evaluation and, if needed, corrective action. Detailed provisions of the Act are available in the Facilities Management Office.

See information regarding [Disability Access and Accommodations](#).

## Employee Vaccination Policy

### Purpose

The health and safety of our employees and meeting our obligation to provide and maintain a workplace that is free of known hazards is paramount. Accordingly, we are adopting this policy to safeguard the health of our employees; students; and the community at large from infectious diseases, such as COVID-19 and influenza, that may be reduced by vaccinations.

This policy will comply with all applicable laws and is based on guidance from the Centers for Disease Control and Prevention, Minnesota Department of Health and local health authorities, as applicable.

### Scope

All employees are required to receive vaccinations and vaccine boosters as determined by Carleton College unless a reasonable accommodation is approved.

Employees not in compliance with this policy will be placed on a voluntary, unpaid leave and their status will be evaluated periodically. While on leave, employees will be subject to Carleton's standard leave policies and the leave duration will be based on operational feasibility. Although we will attempt to return employees to a similar position, Carleton is unable to guarantee a position will be available.

### Procedures

Carleton College's Office of Human Resources maintains and publicizes a list of the vaccines that this policy encompasses and the applicable deadline(s) for complying with this policy.

Before the applicable vaccination deadlines, all employees must either (a) establish that they have received all recommended doses of the designated vaccine(s) and the recommended delay period has passed; or (b) obtain an approved exemption as an accommodation. The process for seeking an accommodation is explained below.

Employees will be required to provide documentation to establish that they have received the required vaccination(s), which could include a copy of a vaccination card or other verification from an authorized health care provider. Employees should not include any medical or genetic information when presenting proof of vaccination.

Whenever possible, Carleton College will assist employees by providing on-campus access to immunizations or identifying sites where employees may receive the vaccinations. Vaccinations should be run through employees' health insurance where applicable. Employees may submit for reimbursement the cost of a vaccination not provided by the College or covered by health insurance.

Employees will be paid for reasonable time taken to receive vaccinations. For vaccinations received

off-campus, employees are to work with their supervisor to schedule appropriate time to comply with this policy.

## **Reasonable Accommodations**

Employees in need of an exemption from this policy due to a medical reason, or because of a sincerely held religious belief, must submit a completed [Accommodation Request Form](#) to Human Resources to begin the interactive accommodation process as soon as possible after vaccination deadlines have been announced. Although Carleton College encourages employees to suggest specific reasonable accommodations, the College is not required to make the specific accommodation requested and may provide an alternative effective accommodation, to the extent any reasonable accommodation can be made without imposing an undue hardship on the College or posing a direct threat to the employee or others in the workplace.

Carleton College makes determinations about requested accommodations and exemptions on a case-by-case basis considering various factors and based on an individualized assessment in each situation. Carleton College strives to make these determinations expeditiously and in a fair and nondiscriminatory manner and will inform employees once a determination is made. Employees should contact Human Resources with any questions about accommodation or exemption requests.

Employees granted an accommodation or exemption under this policy may be required to use additional personal protective equipment, submit to regular PCR testing as provided by Carleton College, or take other actions as directed to mitigate risk to faculty, staff, and students whenever they are on campus.

## **GINA Safe Harbor**

The Genetic Information Nondiscrimination Act of 2008 (GINA) prohibits employers and other entities covered by GINA Title II from requesting or requiring genetic information of an individual or family member of the individual, except as specifically allowed by this law. To comply with this law, Carleton College requests that employees refrain from providing any genetic information when responding to any request for information under this policy.

“Genetic information,” as defined by GINA, includes:

- An individual's family medical history.
- The results of an individual's or family member's genetic tests.
- The fact that an individual or an individual's family member sought or received genetic services.
- Genetic information of a fetus carried by an individual or an individual's family member or an embryo lawfully held by an individual or family member receiving assistive reproductive services.

## **Policy Modification**

Government and public health guidelines and restrictions and business and industry best practices regarding COVID-19 and COVID-19 vaccines are changing rapidly as new information becomes available, further research is conducted, and additional vaccines are approved and distributed. Carleton College reserves the right to modify this Policy at any time in its sole discretion to adapt to changing circumstances and business needs, consistent with its commitment to maintaining a safe

and healthy workplace.

## **Enforcement and Non-Retaliation**

Failure to comply with or enforce this Policy may result in discipline, up to and including termination of employment.

Carleton College prohibits any form of discipline, reprisal, intimidation, or retaliation for reporting a violation of this Policy or any other health and safety concern. Employees also have the right to report work-related injuries and illnesses, and Carleton College will not discharge or discriminate or otherwise retaliate against employees for reporting work-related injuries or illnesses or good faith health and safety concerns.

## **Collective Bargaining Agreement**

Employees covered under a Collective Bargaining Agreement should consult the terms of their collective bargaining agreement.

## **Current vaccine requirement(s)**

1. Effective August 1, 2021, all employees will be required to be fully vaccinated against COVID-19. Employees may choose any COVID-19 vaccination approved by the World Health Organization and will be required to submit proof of vaccination. Employees are considered fully vaccinated 14 days after the final dose of the vaccination series.
2. Effective October 2021, all employees working between October - April will be required to be vaccinated against seasonal influenza. Employees may receive any FDA-approved, licensed, age-appropriate flu vaccine (IIV, RIV4, or LAIV4) with no preference for any one vaccine over another. This includes both the flu shot and mist.
3. Effective January 21, 2022, all employees are required to receive a booster dose for the COVID-19 vaccine 6 months after completing the primary vaccination series for Pfizer or Moderna, or 2 months after receiving a Johnson & Johnson vaccination. Employees are required to get and [report](#) their booster dose within 14 days of reaching eligibility.

## **Additional Resources**

- [CDC - Seasonal Flu Shot](#)
- [CDC - Misconceptions about Seasonal Flu and Flu Vaccines](#)
- [MDH - Influenza](#)
- [Mayo Clinic- Flu Shot: Your best bet for avoiding influenza](#)
- [CDC - Safety of COVID-19 Vaccines](#)
- [CDC - COVID-19 Vaccine Information for Specific Groups](#)
- [MDH - COVID-19 Vaccine Basics](#)
- [Mayo Clinic - COVID-19 vaccines: Get the facts](#)
- [Yale Medicine - Comparing the COVID-19 Vaccines: How Are They Different?](#)
- [WHO - COVID-19 vaccines](#)

# Carleton College Infectious Disease Control Policy

The College will take proactive steps to protect the workplace in the event of an infectious disease outbreak. It is our goal during any such time period to strive to operate effectively and ensure that all essential services are continuously provided and that faculty, staff and students are safe.

[The Infectious Disease Team](#) will monitor events and share counsel concerning an infectious disease outbreak.

College leadership may add new relevant policies, practices or guidelines or modify existing ones as needed in response to an outbreak. Specific instructions and requirements may be issued on topics such as:

- **Hygiene**
- **Staying Home When Ill**
- **Requests for Medical Information and/or Documentation**

If an employee shows symptoms of being ill or has been exposed to an infectious disease, we may request information from a health care provider to show whether an absence relates to the infection and when it is appropriate to return to work.

- **Confidentiality of Medical Information**

Medical information will be treated as a confidential medical record. We will limit the disclosure of medical information to supervisors, managers, first aid and safety personnel, and government officials as required by law.

- **Limiting Travel**
- **Remote Work**
- **Social Distancing**

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Last revised June 4, 2021

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For [Faculty](#), [Staff](#)

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**Last Reviewed: Jun 4th, 2021**

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Maintained by Human Resources

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Academic Regulations & Procedures

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Buildings & Grounds

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College Governance

---

Communications

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Community

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Employment & Benefits

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Events

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Faculty Appointments

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Financial

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**Health & Safety**

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Housing & Residential Living

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Information Technology, Documents, & Records

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Research

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Travel & Transportation

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The [Campus Handbook](#) is the one place to find all official Carleton College policies and guidelines. It contains the [Student](#), [Faculty](#), and [Staff](#) handbooks. These policies and guidelines are subject to change.

If you have questions or corrections, please email [campus-handbook.group@carleton.edu](mailto:campus-handbook.group@carleton.edu).

[Campus Handbook Archive](#) • [Tools for Policy/Guideline Maintainers](#)

This page last updated 10 August 2015.

[Login](#)



# Housing & Residential Living

## Alcohol and Other Drugs Policy

### I. Introduction

The Carleton College policy on alcohol and other drugs exists within the context of local, state, and federal laws. The regulations contained in this policy are designed to comply with all applicable City of Northfield ordinances and the laws of Minnesota and the United States, including the Drug-Free Schools and Communities Act Amendments of 1989.

### Philosophical Statement

Carleton College is committed to promoting responsible behavior regarding the use of alcoholic beverages. As an educational institution, the College provides resources through which students are empowered to inform themselves about the physiological, psychological, and sociological effects of alcohol and other drugs upon the individual and the community.

In a civil, safe, and healthy community, members take responsibility for their own actions, and consider the impact that their choices will have on others. All members have a duty to accept their obligations to the group, and to act for the common good. As members of such a community, Carleton students, faculty, and staff will be held accountable for upholding the standards set forth for appropriate behavior.

Above all else, in all actions, both on and off campus, members of the Carleton community shall:

- Demonstrate respect for others in their actions.
- Acknowledge the impact of alcohol on communal living, and work to limit its negative effects.
- Retain autonomy, and thereby accountability for their choices and the outcomes of such choices.

The policies which follow, and the philosophy upon which they are based, are intended to foster the continued growth and development of a respectful and responsible community.

### II. Regulations

1. **Alcohol, other drugs, and paraphernalia on campus:** The college prohibits the unlawful possession, use, manufacture and/or distribution of alcohol and illicit drugs by students and employees on College property or as part of any College activities. The provisions of Northfield city ordinances and laws of Minnesota and the United States including the

Drug-Free Schools and Communities Act Amendments of 1989 (Public Law 101-226), shall govern.

- a. No kegs or common containers of alcohol are allowed in private residential spaces (houses, townhouses, residence hall rooms, etc.). The college will confiscate any unlawful or unauthorized items. This includes, but is not limited to paraphernalia such as bongos, pipes, drugs, kegs, beer bongos, etc. Once confiscated, the items will not be returned.
  - b. Persons under 21 years of age are prohibited from drinking alcoholic beverages.
  - c. Persons 21 years of age or older may drink alcoholic beverages only in their private residential rooms or at registered events.
  - d. Alcohol is not permitted in any public area without prior registration. Public areas include but are not limited to: Sayles-Hill, Severance Great Hall, dining halls, residence hall and house lounges/living rooms, study rooms and corridors, all academic buildings and athletic areas, and all outdoor areas owned and operated by the College, including outdoor recreational areas.
  - e. Possession of open containers of alcohol is prohibited at all times at all campus locations, except at registered event locations or in private residential rooms.
  - f. High-risk alcohol-related activities, such as progressives, drinking theme parties, drinking games, beer bongos, and similar behaviors are prohibited.
  - g. Students should not engage in the manufacture or production of any alcoholic beverage on the Carleton campus including, but not limited to, cereal malt beverage (beer), wine, moonshine, and liquor.
  - h. The college recognizes the particular danger of driving while under the influence of alcohol and other drugs. Therefore, students are expected never to use substances and drive.
2. **Alcohol at registered events:** Some public areas may be registered for an event at which alcohol will be available by submitting the appropriate event registration form to the Student Activities Office. A full description of the regulations and responsibilities to which event sponsors are subject is found on the [Student Activities website](#)
- a. Any kegs or common containers (e.g. punch bowls, garbage cans, inflatable pools, etc.) of alcohol may be permitted if the following two criteria are met:
    - i. the event is registered in advance through the Social Event Registration process and approved through Student Activities, **and**
    - ii. the alcohol is served by a College approved licensed third party vendor.
  - b. Hard alcohol is allowed at registered events, but must be approved and served by a college approved licensed third party vendor. For the purpose of this policy, Carleton defines hard alcohol as anything other than beer, wine, or malt beverage.
  - c. All alcohol which is unauthorized will be confiscated along with all other related items (taps, kegs, cups, etc.). Note: This may result in loss of any purchaser's deposit(s). The student host or residents of the event will be held responsible and will face disciplinary action.
  - d. The college recognizes the disruptive effects that alcohol and other drugs can

have on the Carleton community. Therefore, all registered events are subject to (but not limited to) the following regulation principles:

- i. Event sponsors may be held responsible for the actions of both individuals and the group. Behavior that violates the living and study rights of other residents is unacceptable.
    - ii. Damages: If individuals responsible for the damage cannot be identified, the event sponsors shall be liable for damage and clean-up charges. The event area must be cleaned and returned to its pre-event condition.
  - e. Small gatherings in private residential rooms need not be registered with the College. Such gatherings are, however, subject to all other regulations regarding alcohol use described in this policy.
3. **Social Host Liability:** Anyone over 21 who serves alcohol to someone under 21 may be held civilly liable for any damages subsequently caused by the person under 21.
4.
  - a. Social Host Ordinance - City of Northfield (enacted May 2011): The purpose of the social host ordinance is to hold individuals responsible for activities that allow people who are under the legal drinking age of 21 to consume alcohol. Students who host parties where underage drinking occurs can be charged under this social host ordinance. The consequences for violating the Northfield Social Host Ordinance could be up to 90 days in jail and up to a \$1,000 fine, and is a misdemeanor. According to the ordinance it is essential to take reasonable steps to curb underage consumption.
  - b. Reasonable Steps May Include:
    - i. Controlling access to alcohol and alcoholic beverages in such a manner that no underage person has access to the alcohol and alcoholic beverages at the gathering or event; or
    - ii. Directly supervising the activities of underage persons at the gathering event either in person or through a responsible adult; or
    - iii. Checking identification of the attendees of the gathering to determine age; or
    - iv. Other actions made by the person to prevent possession or consumption of alcohol or alcoholic beverages by the underage person(s) present.
5. **Students on Off Campus Study:** Students participating in off-campus study programs are subject to local laws, as applicable. Students who jeopardize their own health, the health and safety of others, or the integrity of the living and learning environment on the program may be required to leave the program. The program director, in consultation with the VP/Dean of Students (or designee), has the authority to remove a student from the program under these circumstances.

### III. Sanctions and Responsive Action

1. **Sanctions:** A violation of this Policy is a “violation” within the meaning of the Community Standards Policy, III.C.5. All sanctions listed there (restitution, service, counseling, chemical dependency evaluation, revocation of privileges, warning, censure, disciplinary probation, suspension, and expulsion) are applicable. In addition, for violations of this Policy, sanctions may include mandatory education, counseling, fines,

community services, and/or evaluation, conducted on or off-campus.

## 2. **Responsive Actions:**

The College recognizes that students are expected to obey the law and take personal responsibility for their conduct. The College will respect the privacy of student's personal lives. The college will hold students accountable if and when:

- a. Students' use of alcohol or other drugs threatens order, causes public disturbances, poses danger to the students and/or others, or results in property damage;
- b. Illegal use of alcohol and other drugs comes to the attention of College officials. Drunk and disorderly behavior when under the influence of alcohol is a violation of the alcohol policy. Persons under the influence of alcohol will be held responsible for their actions.
- c. Any violations of this policy by students, including violations of the "Social Event Registration Guidelines," will be brought to the attention of the Dean of Students staff. Violations by faculty or staff will be brought to the attention of the Dean of the College or Vice President of the College, respectively.
- d. Violations will be reviewed and sanctions imposed by the Dean of Students, the Dean of the College, the Vice President of the College, or the Judicial Hearing Board.

## IV. **Resources**

Alcohol and drug counseling, treatment, and rehabilitation/re-entry programs for students, staff, and faculty are available from a variety of sources. Anyone who recognizes a personal alcohol or drug problem, is concerned about another student or co-worker, or who may wish to know more about alcohol and drug abuse may contact:

1. **Internal Sources:** (phone extensions; add area code 507 and 222 prefix if dialing from non-Carleton phone, e.g. 507-222-4248)

### 1. **Students:**

- Office of the VP/Dean of Students: 4248, 4075
- Residential Life: 4072
- Student Health and Counseling: 4080
- For more information on resources related to recovery, please see the [Office of Health Promotion](#) website.

### 2. **Faculty and Staff:**

- Dean of the College: 4303
- Employee Assistance Program: 1-866-326-7194
- Human Resources: 7471

2. **External Sources:** This website offers support resources within Northfield and the surrounding communities: <https://northfieldhci.org/resources/>

## **Endnote**

<sup>1</sup> Summary of Drug-Free Schools and Communities Act Amendments of 1989 (Public Law No.

101-226)

A. The new Drug-Free Schools and Communities Act Amendments of 1989 (Public Law No. 101-226) require colleges and universities to adopt a program to prevent the unlawful use of illicit drugs and alcohol by students and employees. A College's failure to comply with the Act can result in the immediate loss of eligibility to receive federal funding and any other form of Federal financial assistance, including federally funded financial aid.

B. All colleges must give notice to each student and employee that unlawful use of drugs and alcohol is prohibited, describe applicable legal sanctions and health risks, list counseling programs available, advise students and employees that violation of the policy could lead to penalties up to and including expulsion from the College, termination of employment and/or referral to civil authorities for prosecution, and review the policy biennially.

C. Policy Requirements: A college's drug prevention program must prohibit, at a minimum, the unlawful possession, use or distribution of illicit drugs and alcohol by employees and students on college property or as part of its activities.

Presented to and adopted by the College Council on May 29, 2001. Approved by the Executive Committee of the Board of Trustees June 21, 2001.

## V. Information About Alcohol, Tobacco and Other Drugs

[Description of College Student Substance Use](#)

[Health Consequences of Drug Use](#)

[Health Risks of Alcohol and Tobacco Use](#)

[Facts on E-cigarettes](#)

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*Adopted by College Council on May 29, 2001.*

*Approved by the Executive Committee of the Board of Trustees June 21, 2001.*

*Note: Information About Alcohol, Tobacco and Other Drugs policy revised/updated August 2011*

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For [Faculty](#), [Staff](#), [Students](#)

**Last Reviewed: Aug 17th, 2021**

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Maintained by Dean of Students

## Animals on Campus

**Definition:** Animal—for these purposes, any species that is not human.

**Applicable Public Law.** Any person bringing an animal(s) onto the property of Carleton College should be aware that the City Code of Northfield applies to their visit. Please refer to Part II, Chapter 10, Article II, 10-31 through 10-98.

**Animals in Buildings.** No animals are allowed in any Carleton College buildings including academic, administrative, and residential buildings that the College owns with the exception of research animals used in the work of College departments, service and emotional support animals (see

below), and support animal visits scheduled by the Health Promotions Office. Faculty, staff, or students may not pet-sit or invite an animal into College housing. There are a few college houses that are exceptions from this policy because of their required long-term residential nature including Nutting House and Headley Cottage. In addition, Sperry House and Seccombe House are identified as pet-friendly employee rental housing.

**Animals on the Grounds.** Animals must be leashed and under the direct control of their owner. Animals running freely or that are tied up and unattended are not under the direct control of their owner will be reported to the City of Northfield Animal Control Officer for pickup as provided for in the City Code.

Animals that are left in their owner's vehicle will be reported to the City of Northfield Animal Control Officer for pickup as provided for in the City Code if they appear to be under duress from heat, inadequate ventilation, or severe cold.

All animal wastes must be picked up and properly disposed of by the associated owner.

**Public Safety** Persons who wish to report violations of this policy may call Carleton College Security at x4444.

**Service or Emotional Support Animals** While the college does not permit pets on campus, it does comply with federal law, American Disability Act and the Fair Housing Act in the regards to the presence of Service or Emotional Support Animal for individuals with appropriately documented disabilities. Contact Director of Disability Services (students) or Human Resources (employees) for guidelines and regulations for the accommodation of Service or Support animals in campus housing or in campus buildings.

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Last revised November 6, 2017

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For [Alumni](#), [Faculty](#), [Families](#), [General Public](#), [New Students](#), [Prospective Students](#), [Staff](#), [Students](#)

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**Last Reviewed: Mar 1st, 2022**

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Maintained by Facilities

## Break and Summer Housing

Limited housing is available during the College's winter and spring breaks for

1. Students working at least 20 hours per week in an on-campus job with verification from employers.
2. Athletic team members with authorization from the Athletic Department.
3. Seniors working on comprehensive exercises with advisor verification.
4. Students taking courses at St. Olaf.
5. Students who live more than 450 miles away, including International Students with verification from Office of International and Intercultural Life
6. Participants in approved campus sponsored groups with verification.

Students who wish to stay for Winter or Spring Breaks must reside in a hall designated for break housing or borrow a room from a student in a designated break housing hall.

Halls designated for break housing are decided in advance and are communicated through [Room Draw Information](#) with the Office of Residential Life. All students who draw into designated Break Housing areas are required to allow their rooms to be used by students needing Break Housing. Storage is available to students who are required to let someone use their room and want to remove personal belongings.

### **Summer Break**

Current full-time students who will be enrolled at Carleton during the next academic year and have a paid position at Carleton College which averages a minimum of 20-hours per week are eligible to live in College-owned housing for the summer. Housing is assigned and space is limited.

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*Approved by Residential Life on June 21, 2005.*

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For [Students](#)

### **Last Reviewed: Mar 25th, 2019**

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Maintained by Residential Life

## **Campus Use by Unenrolled Students**

The events and activities of the College exist for the benefit of enrolled students. Students who are not enrolled in the College but living in Northfield during a particular year or term are to be regarded as members of the local community and welcomed to the College as such, but they are not to take part in events, productions, trips, College services, etc., that are ordinarily reserved for Carleton students.

When a student is not enrolled, their OneCard account will retain any remaining Schiller's value, but other privileges will be deactivated. To review OneCard features, please see [OneCard Information Center](#) website.

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For [Students](#)

### **Last Reviewed: Mar 23rd, 2021**

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Maintained by Dean of Students

## **Climbing on College Buildings and Structures and Unauthorized Access to Prohibited Areas**

Climbing on any building or structure, including the water tower, scaffolding, roofs, tall trees, etc. is prohibited. Violation of this rule may result in a fine of \$250 and other disciplinary sanctions for the first violation. Additional violations of this rule will increase the fine amount, up to \$1000. The College is not responsible for injuries resulting from climbing on college buildings or structures.

The same fines will apply to violations of unauthorized access to or use of buildings and other facilities such as tunnels, construction zones, and other prohibited areas.

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For [Students](#)

**Last Reviewed: Aug 17th, 2021**

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Maintained by Dean of Students

## **Common Area Reservations in Residential Locations**

### **Common Area Reservations in Residential Locations**

- Reservable common areas in residential spaces are managed by assigned Area Directors and reservable through [Campus Scheduling](#). A designated individual must serve as the host/sponsor of the event and must be present through the entirety of the event.
- Residential common areas are alcohol free spaces.
- Furniture should all be returned to its original location at the conclusion of an event. Pool tables located in Common Areas should not be moved.
- Residence Halls are accessible only by students and therefore OneCard Access controlled. Students have OneCard access to the building; however Faculty and Staff must be escorted in by a student member of the event they are attending.
- The individual or group reserving the space is responsible for any extra cleaning or damage charges that occur when they are occupying the space.
- Sunday through Thursday events must end by 11:00 p.m., Friday and Saturday evening events must end by 1:00 a.m. the following day to comply with quiet hours.
- Common Areas in Residential locations are not reservable during Study Days or Final Exam periods.
- Residential Life staff have the right to refuse requests for reservations.

### **Residential locations available for reservation**

- Cassat Hall Game Room
- Goodhue Superlounge

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Last revised October 30, 2018

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For [New Students](#), [Prospective Students](#), [Students](#)

**Last Reviewed: Oct 3rd, 2018**

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Maintained by Residential Life

## **Common Areas in Residential Spaces (lounges, kitchens, bathrooms, hallways, stairwells, lobbies, etc.)**

### **General Common Areas**

Common Areas in residential spaces are intended for the use of all students residing in the building or house. Furniture in these areas should remain in assigned spaces. All residents of a community will be charged for damages or extra cleaning that occurs in common areas.



## Common Area Kitchens

When using common area kitchens, residents should clean up after themselves immediately. Dishes and cooking items should not be stored in common areas, but rather in student rooms. All items stored in common area refrigerators should be clearly labeled with resident name, room number, and date.

See also: [Common Area Reservations in Residential Locations](#)

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*Approved by Residential Life on July 31, 2006.*

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Last revised July 31, 2006

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For [Students](#)

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## Last Reviewed: Dec 17th, 2018

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Maintained by Residential Life

## Conditions of Occupancy

**All students are expected to abide by the Conditions of Occupancy listed below to ensure safe and well-maintained facilities. Students will be subject to disciplinary sanctions, including fines, for violating any regulations.**

**All rooms are furnished with beds, mattresses, desks, desk chairs, window treatments, dressers, wardrobes or closets, and garbage and recycling cans. Students are responsible for maintaining the room and furnishings in good condition and returning the room to its original condition when moving out. Completion of a Room Condition Report when moving into and vacating a room provides detailed information regarding the room and furnishings.**

- 1. Students are responsible for all activity which occurs in their rooms**, even if they are not present. For this reason, rooms should be locked at all times.
- 2. Damages and missing articles** will be charged to student college accounts. Any charges will reflect the cost to repair or replace the damaged or missing items. All occupants of a room/house/apartment will be held equally responsible for any charges incurred and for returning the room to move-in condition when they move out (remove all personal items, remove trash, and thoroughly clean and vacuum room, bathroom, kitchen, lounge, etc.) There is a minimum charge of \$25 per resident of a room/house/apartment for excessive cleaning required in any bathroom, lounge, kitchen or other common space within the room/house/apartment. If an individual resident accepts responsibility for a particular damage or cleaning, a written agreement should be signed by all occupants and submitted to Residential Life with the RCR. Residents who fail to complete the room check-out process will be assessed a \$25 fine. Students leaving after the designated time will be charged.
- 3. Furniture:** Room furniture must remain in a student's room. Residents may provide additional furnishings such as carpets, chairs, and sofas. All personal articles must be removed prior to departure from the room at the end of the academic year or departure from the College. Non-Carleton bunk beds and lofts are not permitted. Bunked and lofted beds may not be more than 2 high. The College assumes no responsibility for damage or injury cause by the use of lofts and bunk

beds. Lounge furniture is not allowed in student rooms.

**4. Walls, Ceilings and Floors:** Screws, nails, staples, tape and glue should not be used on ceilings, walls, furniture, doors or floors. Ceilings, walls and floors must be kept free of any fire or safety hazards (please see fire safety guidelines posted on hall bulletin boards for more information). Decorations used for seasonal and/or special events must be of fire retardant materials.

**5. Wall partitions, paneling, electrical system modifications, and water beds** violate insurance regulations and are prohibited. No alterations or modifications shall be made to the room accommodations.

**6. Painting:** Rooms and public areas are painted by College staff on a cyclical maintenance schedule. Students are not permitted to paint any rooms.

**7. Windows:** No items should be placed on windowsills as they pose a hazard to pedestrians below. Screens are not to be removed or unhooked for any reason. Objects are not to be thrown from windows or balconies. Students violating this policy are subject to disciplinary sanctions including a fine.

**8. Roofs and Decks:** Students are not to be on the roofs or decks of any buildings with the exception of the decks connected to the main lounges of Nourse and Evans Halls. Students violating this policy are subject to disciplinary sanctions including a fine up to \$250.00 for the first violation. Additional violations of this rule will increase the fine amount, up to \$1000.

**9. Porches and Balconies:** Grills and other flame producing devices may not be used on porches or balconies. No furniture other than the porch furniture provided by the College is permitted outside the house without written permission from Residential Life staff. Objects are not to be thrown from windows or balconies.

**10. Antennas:** The installation of outside antennas for TVs and/or radios and the splitting or tapping into any antenna or antenna cable are prohibited. The unauthorized connection to a cable TV signal is a crime and prosecution by the local cable company may result. Students will be charged for removal/repair.

**11. Common Areas** (i.e., lounges, kitchens, bathrooms, hallways, stairwells, and entries) are intended for the use of all students residing in the building. Furnishings in these areas are not to be removed. All residents of a hall/house/floor will be charged a minimum of \$5 for cleaning, repair or replacement of furnishings in the common areas.

**12. Storage:** Bicycles and other personal belongings may not be stored in lounges, hallways, or stairwells because they create a fire or safety hazard. Custodial Services, Ext. 4133, has designated areas available for bicycle and secure storage.

**13. Fire Safety considerations** prohibit the possession of flame- or spark-producing items including candles, incense burners, oil-burning lamps, halogen lamps and lanterns, lighter fluid, etc., in residential facilities. Violation of this policy will result in a \$25 fine for the first violation and other disciplinary sanctions for the first violation. Additional violations of this rule will increase the fine amount, up to \$300.

**14. Life Safety:** Damage to or tampering with the sprinkler system, smoke alarms or CO2 detectors in the residence halls/houses will result in a charge to the student account to cover the cost of

repair/replacement. The sprinkler fixture and smoke alarm must not be covered/blocked or used as a hanger for any item. Any type of tampering, such as covering a smoke detector or removal of a smoke detector or fire extinguisher, will result in a \$250 fine to each individual involved and other disciplinary sanctions. Additional violations of this rule will increase the fine amount, up to \$1000.

15. **Room / Resident Safety:** Residential Life, Dean of Students Office, or Security may enter a room if there is reason to believe someone's safety is in jeopardy. In addition, Residential Life staff enters all residential rooms at the end of each term to ensure there are no potential safety concerns.

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For [Students](#)

**Last Reviewed: Sep 15th, 2014**

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Maintained by Residential Life

## Drug-Free Workplace

### Introduction

Following is a description of the Carleton College policy required by the Drug-Free Workplace Act of 1988, which went into effect on March 19, 1989. The College's failure to comply with the provisions in the Act could result in the termination, suspension or debarment of federal government funds or contracts including campus-based student aid funds to which the College may otherwise be entitled. It is important to note that not only are illegal drugs unlawful, but also that legal drugs can be manufactured, dispensed, etc. unlawfully.

### Policy Requirements

The College has the obligation to maintain a drug-free workplace to insure that employees perform their jobs safely, efficiently, and in a businesslike manner.

### Conditions

The unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance on college property or while conducting college business away from the campus by college employees is absolutely prohibited. Employees are expected and required to report for work or work related activities on time and in appropriate mental and physical condition to carry out their assigned duties. Any impairment due to alcohol or drug use, however slight, is unacceptable.

Employees should also report to Human Resources any medically prescribed treatment involving prescription drugs that may affect their ability to perform on the job.

As a condition of employment, Carleton employees must abide by the terms of this policy and must notify the College if convicted under any criminal drug statute for a violation occurring in the workplace not later than five days after such conviction. The College in turn must notify the federal funding agency within ten days of receiving such a notice.

### Definitions

#### EMPLOYEES:

This prohibition covers all employees, including part-time and students. The Drug-Free Workplace Act of 1988 literally applies only to those employees directly engaged in performing work under the provisions of a government grant or contract; however, because it is difficult to segregate work performed under a grant or contract from other institutional work, the College has elected to include all employees under this policy as have most institutions.

## WORKPLACE:

The workplace is any site on or off campus where the work of the College is being performed.

## CONTROLLED SUBSTANCES:

Controlled substances are drugs whose distribution is controlled by Federal or State regulation or statute--the worst street variety to mild prescriptions, including, but not limited to, narcotics, marijuana, hallucinogens, depressants, and stimulants, but not alcohol or tobacco products.

### **Consequence of Violations**

Employees found in violation by the College of the prohibitions set forth under "Conditions" or employees who receive a criminal drug statute conviction for a violation occurring in the workplace will be subject to disciplinary action by the College, up to and including termination, OR will be required to participate in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency.

### **Drug-Free Awareness Program**

Human Resources is responsible for a drug-free awareness program to inform employees about the dangers of drug abuse and the Drug-Free Workplace Policy. Some drug counseling and drug rehabilitation programs are covered by the College's health insurance for participating employees, and all employees except students have access to Carleton's Employee Assistance Program.

### **Labor Agreement**

The Drug-Free Workplace Policy is intended to be consistent with applicable collective bargaining agreements at the College. If differences arise, the Labor Agreement will take precedence.

See [Unlawful Use of Drugs and Alcohol policy](#) for further information.

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Last revised April 8, 1989

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For [Faculty](#), [Staff](#), [Students](#)

### **Last Reviewed: May 28th, 2021**

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Maintained by Human Resources

## **Electrical Devices and Appliances**

Heat producing electrical devices may only be used in designated areas. Appliances such as hot plates, coffeemakers, irons, and space heaters are not acceptable for use in student rooms by order of the State Fire Marshal. These types of appliances may be used in the kitchens or laundry rooms only.

Each room carries an electrical load limit of approximately 10-15 amps. The electrical capacity within student rooms does not permit the use of any appliance rated over six amps (700 watts). For example, stereos, TVs, and small refrigerators each draw two to three amps. Refrigerators larger than 3.6 cubic feet and air conditioners are not permitted in residential facilities. Use of microwaves in student rooms is discouraged as microwaves are available in public kitchens.

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*Approved on July 31, 2006.*

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For [Students](#)

**Last Reviewed: Sep 15th, 2014**

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Maintained by Residential Life

## Food Sales and Distribution

The Minnesota Department of Health provides specific guidance for food safety. Carleton College expects all campus vendors, students and staff to follow the MDH guidance to ensure the safety of food served or sold on campus. Please reference <https://www.mda.state.mn.us/food-feed/cottage-food-producer-registration> for specific guidance and/or consult the guidelines from the University of Minnesota Extension Cooking Safely for a Crowd: <https://extension.umn.edu/food-safety/food-entrepreneurs>

Bon Appetite, our Dining Services partner, is the only food provider with a food license on record with Carleton College.

The college does not monitor other outside food service vendors contracted by individual departments to serve food at campus events.

Food prepared and served or sold on campus by individuals should be consumed with an understanding that products are homemade and not subject to state inspection. When selling items at a bake sale, the seller is responsible for **a sign or placard stating "These products are homemade and not subject to state inspection" posted** at the sale. Label food with your name and address, the date produced, and the ingredients, including potential allergens.

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Last revised August 13, 2018

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For [Faculty](#), [Staff](#), [Students](#)

**Last Reviewed: Feb 19th, 2021**

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Maintained by Business Office

## Governance and Student Privacy

“Living Unit” means a residence hall floor, residence hall section, or College-owned or College rented off-campus dwelling used to house students.

Each living unit or residence may adopt regulations appropriate to their needs or interests and may enforce them through their Resident Assistants or Area Directors, providing such regulations and enforcement procedures are not contrary to or inconsistent with other College policies and

procedures, and providing such regulations do not violate the prohibitions set forth in the Community Standards section of the Handbook. Rules or floor contracts made by living units must be submitted in writing to the Area Director for review at the beginning of each academic year. Subsequent changes in these regulations must also be submitted to the Area Director.

Students have the same rights of privacy as any other citizen and surrender none of those rights by becoming members of the academic community. These rights of privacy extend to residence hall living. Nothing in the College relationship or resident hall contract may expressly or by implication give the institution or residence hall officials authority to consent to the search of a student's room by police or other governmental officials, unless under legal compulsion.

When College maintenance, custodial, or security staff seek access to a student room in a residence hall to make improvements or repairs, the occupant shall be notified of such action not less than twenty-four hours in advance. The exceptions to this procedure would be when the resident has requested that such improvements or repairs be made, when the occupant gives permission for an earlier entry, or when there is an emergency situation where there is reasonable fear of danger to life, safety, health, or property. A request for improvements or repairs is considered authorization to enter a student's room during a 10 academic day period from the date of the request. If repairs or improvements cannot be made in a 10 academic day period, the students shall be so notified and another 10 academic day period established. Student rooms may be entered during breaks by College employees to inspect furnishings, provide custodial or maintenance service, and inspect for safety.

The Dean of Students or his or her designee shall not enter a student room without permission of an occupant unless there is sufficient cause to believe that non-compliance with a specific College policy or multiple dwelling unit law is occurring or has occurred. Such entry shall be only for the purpose of investigating the specific violation. These conditions apply throughout the academic year, including vacations.

Notwithstanding the provisions of the prior paragraph, items belonging to the College which are not part of room furnishings (for example, lounge furniture, dining room equipment, library books), or items which are illegal by law or College policy (for example, drugs, guns, etc.), may be removed if they are in plain view of the Dean of Students or his or her designee, if the Dean of Students or his or her designee is in a student's room in the course of a permitted entry. Discovery of such items may constitute the basis of subsequent disciplinary action.

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*Adopted by Board of Trustees June 17, 1993, upon recommendation of the College Council.*

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For [Students](#)

**Last Reviewed: Sep 15th, 2014**

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Maintained by Residential Life

## **Guests in Residential Spaces**

A "Guest" is defined as any person who is not assigned by The Office of Residential Life to live in a particular space. A resident is permitted a maximum of 5 guests at any one time.

Guests are allowed to stay for a maximum of three days within a 7 day period. Exceptions must be

approved by the Area Director prior to the guest's arrival.

Guests who are not students are expected to abide by all College and residential policies. Hosts are responsible for the behavior of their guest(s) on campus and will be held accountable for the behavior of their guest(s).

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*Approved on July 31, 2006.*

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For [Students](#)

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**Last Reviewed: Mar 25th, 2019**

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Maintained by Residential Life

## ID Cards

All Carleton students, excluding non-degree candidates, are issued a picture identification card by the [OneCard Office](#). This card provides students with access to all residence halls. A lost card compromises the security of the residence halls due to its universal access capabilities. It is extremely important that lost or damaged OneCards are immediately reported to the [OneCard Office](#).

Information regarding the replacement fee and purchase of Schillers is available from the [OneCard Office](#).

Cards are produced in Campus Services, Sayles Hill 10.

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*Approved on July 31, 2007.*

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For [Students](#)

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**Last Reviewed: Sep 15th, 2014**

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Maintained by Residential Life

## Keys for Student Residential Spaces

Carleton provides locks on all residential rooms. Cassat, James, and Evans are equipped with an electronic door locking system which requires use a student's [OneCard](#). Student should carry their key and OneCard at all times.

Residents living in houses are issued room and outside door keys. Residents should keep their rooms and the houses locked at all times. Students living in Stimson, Wade and the Townhouses will use their OneCard to gain access to their exterior door through an electronic system.

When entering a door that has the electronic locking system, please be certain not to let others "tailgate" in with you unless you know they are authorized to be in the building. If someone insists on coming in without authorization, contact Security Services.

To maintain the security of our buildings, students should [disable their OneCard](#) if it is lost or stolen.

**If You Lose Your Room or House Key**

If you lose your room key or house key, Residential Life can issue you a temporary key by visiting the office at Sevy G10. A temporary key can be use for up to 3 days, allowing you time to look for the key(s). If you lose your key after regular business hours, contact your Resident Assistant or another Resident Assistant in your area who can let you into your room. Visit the Residential Life office the next business day to get a temporary key.

If you have not found your room or/ or house key(s) after three days, a new lock is put on your door. A room lock replacement will be billed to your student account at a cost of \$40. A house exterior replacement will be billed to your student account \$100. You and any roommates or housemates will be issued new keys and will need to return any old keys.

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For [Students](#)

**Last Reviewed: Aug 14th, 2020**

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Maintained by Residential Life

## Maintenance and Cleaning

The College provides custodial services for the public areas of each residence hall including common student bathrooms, hallways, lounges, and kitchens on a daily basis Monday through Friday. Limited weekend services, such as emptying trash, restocking bathrooms, and checking lounges and hallways, are also provided. All residents of a floor/house/hall are billed for damages or extra cleaning. See Conditions of Occupancy for details.

Private areas are the responsibility of the occupants. Private areas include: the student rooms or apartments (including the Village Apartments), private bathrooms or private living spaces (i.e., spaces that can be entered only by going through a private room or is part of a private area). Custodial Services staff do routine cleanliness checks during the breaks and, if necessary, clean private areas. Charges will be assessed for any private area that requires cleaning during a break or at the end of the year.

College-owned, house common areas such as kitchens, lounges, stairwells, bathrooms, laundry rooms, and porches are cleaned on a weekly basis. All other spaces in houses are the responsibility of the occupants.

A resident who needs a repair due to a breakdown or malfunction should submit a [Facilities Work Request](#) (FWR). Located online, the FWRs are used to expedite repairs. Each repair requires a separate request form. For emergency repairs after working hours, contact Security Services. The right to inspect or repair rooms at times convenient to the College or its authorized agents is unconditionally reserved by the College. (See Governance and Student Privacy Section)

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*Approved on July 31, 2007.*

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Last revised July 31, 2007

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For [Students](#)

**Last Reviewed: Sep 15th, 2014**

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Maintained by Residential Life



# Medical Amnesty for Violation of Alcohol and Other Drugs Policy

The College expects students to follow all federal, state, and local laws and regulations governing the sale, manufacture, provision, use and/or purchase of alcohol and other drugs (the “Drug and Alcohol Laws”), and to be responsible in their consumption of alcoholic beverages. Students who violate the Drug and Alcohol Laws on campus or during College related activities will be subject to discipline by the College, as well as possible criminal charges by law enforcement authorities and civil law claims by affected persons. The College will not protect any member of the Carleton community who violates the Drug and Alcohol Laws.

There may be times when safety concerns arise from a student’s drinking or drug use. The College has adopted this policy to encourage students in such a situation to promptly seek medical assistance without fear of discipline from the College. The College’s highest priority is the health and safety of students and the College therefore also urges students to think first about their own well-being and the well-being of their fellow students. Consequently the College will not take disciplinary action for possession or consumption of alcohol or drugs against:

- A student who initiates a request for medical assistance for oneself;
- A student who initiates a request for medical assistance for another student; and
- The student for whom medical assistance is sought.

This policy does not apply to individuals who have previously violated community standards for the use of alcohol and other drugs, nor does it prevent action by law enforcement authorities. Although students are expected to request medical assistance in every situation where it may be needed, this amnesty policy does not extend to violations of other College policies.

In case of a medical emergency, students should call 911 immediately. *(From campus phones, dial 8-911)* In all cases where assistance is needed, call Security Services at x4444, or (507-222-4444). Carleton also has [outdoor emergency telephones](#) at several locations across campus.

Any student(s) afforded disciplinary amnesty under this policy will be required to meet with staff from the Dean of Students Office or Residential Life for a formal review of the incident. However, the College may recommend educational intervention, assessment, counseling for alcohol or other drug use, and/or parental notification when appropriate. Amnesty under this policy is also contingent on the student taking any actions recommended by the College. In an effort to prevent the recurrence of such a medical emergency and to identify patterns of problematic behavior involving alcohol or drugs, the Dean of Students Office will document the incident in a record that remains separate from the student’s permanent disciplinary file.

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*August 18, 2015*

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For [Alumni](#), [Faculty](#), [General Public](#), [New Students](#), [Prospective Students](#), [Staff](#), [Students](#)

**Last Reviewed: Mar 1st, 2022**

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Maintained by Dean of Students

# Medical and Disability Accommodations

## Housing Accommodations

Individuals with a disability seeking a housing accommodation (i.e., an exception to standard Carleton housing rules and procedures) other than the use of a service animal, must document their disabilities and the need for the requested accommodation. This information must be documented by a licensed healthcare provider with competence and expertise in the area of diagnosis. Different requirements apply to requests to use a service animal.

Housing accommodations are not academic accommodations. In order to determine if special housing arrangements are a reasonable accommodation, we must receive detailed documentation of the correlation of your disability-related limitations with the need for special housing arrangements that cannot be either secured through the Room Draw process or completed after a room has been drawn.

In order to ensure the provision of reasonable and appropriate documentation, current and comprehensive documentation is required. Please visit [Disability Services for Students](#) for additional information or to request an accommodation.

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*Approved on July 31, 2008.*

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Last revised December 27, 2017

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For [Students](#)

**Last Reviewed: Dec 27th, 2017**

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Maintained by Residential Life

## Pets in Student Residential Facilities

Animals and pets, except those necessary for disabled individuals, are not permitted in student residential facilities. Violations of this [policy](#) may result in eviction with forfeiture of room charges and additional disciplinary action including but not limited to a fine. If you fail to remove a pet or animal from a residential area within the specified time, the animal or pet will be sent to the local animal shelter and a \$100 fine and all costs associated with removal, cleaning, etc. will be assessed. Students may have properly maintained aquariums for fish in their rooms provided that the total capacity of all aquariums in a room does not exceed 20 gallons.

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*Approved on July 31, 2006.*

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For [Students](#)

**Last Reviewed: Sep 15th, 2014**

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Maintained by Residential Life

## Quiet Hours

A student's right to study or sleep in an environment free from undue interference and disruption is

a priority at Carleton. As a result, quiet hours have been established for all student residential areas, effective 11:00 p.m. to 7:00 a.m. Sunday evening through Friday morning and from 1:00 a.m. to 7:00 a.m. Friday and Saturday evenings (Saturday/Sunday mornings).

Residents are expected to abide by courtesy hours at all times. This would include being responsive to any requests to lower a noise level regardless of the time of day.

Twenty-four hour quiet hours are in effect beginning at 11:00 p.m. on the last day of classes each term through the end of exams.

Additional expectations exist in Quiet Areas (see [Quiet Housing Area](#)).

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For [Students](#)

**Last Reviewed: Mar 25th, 2019**

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Maintained by Residential Life

## Quiet Housing Area

### Quiet Area Purpose

Quiet Areas are designed for those who seek a noise-free environment. Residents of a quiet floor agree to provide (and receive) a quiet place to sleep and study at any time of the day or night.

### Quiet Area Guidelines

Although no area can be completely free of noise, Quiet Areas are defined as locations where noise levels are expected to be kept at a minimum and contained within student rooms 24-hours a day. Due to the nature of this living area, only small, private events where all noise and activities are contained within residents' rooms is permitted.

### Consequences of Violating Guidelines

Non-compliance with the Quiet Area Agreement at any time during the year may result in, but are not limited to, the following: verbal warnings, written warnings, housing reassignment and additional conduct sanctions.

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Last revised May 2, 2018

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For [Students](#)

**Last Reviewed: May 2nd, 2018**

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Maintained by Residential Life

## Recreational Activities in Residential Spaces

Games or equipment designed for outdoor use or athletics should not be used in residential spaces e.g., no hockey equipment, Frisbees, skateboards, skates, footballs, basketballs, volleyballs, tennis rackets and tennis balls, golf clubs and balls, dart boards, hoverboards, scooters, broomball equipment, bicycles, etc.

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Last revised August 14, 2018

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For [New Students](#), [Students](#)

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**Last Reviewed: Sep 27th, 2018**

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Maintained by Residential Life

## Residential Living Requirement

Carleton College is a residential college providing housing for all students who are enrolled full-time in classes on the Carleton College campus. All students except those married or having dependent children living with them, must live in College-operated residences and participate in the College dining plan for all four years unless granted the Northfield Option Exemption.

Students who are married or have dependent children living with them will be exempted from the residency and board requirements upon providing documentation to the Residential Life Office.

Housing is available to full-time registered students only. Students who have withdrawn or who are on leave of absence are not permitted to reside in College-owned facilities and must vacate the residence halls/houses. Students leaving the College at any time during the academic year are responsible for packing their belongings and arranging for storage or shipping.

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*Approved by Residential Life on June 21, 2005.*

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For [Students](#)

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**Last Reviewed: Mar 25th, 2019**

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Maintained by Residential Life

## Room Assignments and Room Changes

All first-year students are assigned rooms and are informed of their room assignment by mail in early August. Roommate assignments are based upon the information provided by the student in the Roommate Preference Questionnaire. Staff carefully review all questionnaires and house students based on their responses to questions regarding interests and living conditions.

Housing is available to full-time registered students only. During the Spring Term of each year, students who expect to enroll in on-campus classes for the subsequent Fall Term participate in Room Draw. The housing selection process is conducted in three phases with the assistance of a student Housing Selection Advisory Committee:

- Students are assigned random lottery numbers according to their class year.
- A limited number of senior students are released from the residency requirement through the Northfield Option Program. These students submit a request to seek their own living arrangements in the Northfield area for the subsequent academic year. Students are advised not to sign a lease for off-campus accommodations until they have been excused from the residency requirement. Release from the residency requirement occurs by about March 1 for the following academic year. Student lottery numbers determine placement on the Northfield Option wait list during the initial sign up period.

- The second phase consists of shared interest housing selection. Student interest groups petition for special group housing based upon programmatic goals. Shared interest houses in the past have included art, music, culinary, sustainability, environmental activism, and science fiction.
- The final phase is the actual selection of rooms which is known as Room Draw. Students select rooms in order of their class and lottery number.

Detailed information regarding room selection and housing options is made available prior to room draw online and through campus mail and various on-campus publications, as well as through the residence hall staff.

A student desiring a room change must contact his/her RA, House Manager, or Area Director. The Residential Life staff will work with roommates to resolve conflicts, and permit room changes only when conflicts cannot be resolved. During the first and last two weeks of each term a room change freeze is in effect, during which time room changes are not permitted. Students may not change rooms unless approved by a Area Director or a member of the Residential Life office staff.

Unauthorized room changes will result in the forfeiture of a Room Draw lottery number, denial of release from the residency requirement, or possible disciplinary action. If a vacancy occurs in a room the College reserves the right to place another student in the location. We reserve the right to move the remaining residents of two rooms with vacancies into one of the two rooms that has a vacancy. Whenever possible, vacancies are filled with the concurrence of the students involved.

The College reserves the right to use any residential facilities for break or vacation housing for those students or other groups who have permission to stay on campus during these periods.

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*Approved on July 31, 2007.*

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For [Students](#)

**Last Reviewed: Sep 15th, 2014**

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Maintained by Residential Life

## Room Occupancy

The residential facilities open at noon two days prior to the first day of classes each term. All student residential facilities close between terms and students are expected to vacate their rooms by 2 p.m. the day after exams end. At the conclusion of the Spring Term, all students are expected to vacate the halls by 2 p.m. the day after exams except graduation seniors. We are unable to provide accommodations for dates beyond the normal closing days. Graduating seniors are expected to vacate the halls by 5 p.m. on the day of Commencement. Seniors graduating prior to spring term are expected to follow instructions from Residential Life on checking out of their room at the end of the term in which they complete their graduation requirements. Please refer to the [Residential Calendar](#) for a detailed listing of opening and closing dates.

Only first-year students who are invited to participate in New Student Orientation and upperclass students who assist with the Orientation program or participate in pre-season training for the athletic programs may arrive earlier than the dates noted on the calendar for first year and upperclass move in. There is a per diem charge for room and meals during this time which is paid by the sponsoring department. Only those students sponsored by a department will be housed on campus prior to the

official opening date for upper class students.

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*Approved by Residential Life on July 11, 2005.*

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For [Students](#)

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**Last Reviewed: Sep 15th, 2014**

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Maintained by Residential Life

## Roommates

### Roommate Boundaries and Rights

You and your roommate(s) are individuals with particular interests, goals, values, likes, and dislikes. Learning to accept each other's differences without infringing on one another's freedom is a valuable part of your holistic education at Carleton College.

Each roommate has equal rights as an occupant of the room. Roommates must be able to come to compromises and agreements. Each person has the right to their own personal space within the room. It is vital that you talk through your preferences for the room and what purposes you feel the room should serve. Consider the following roommate rights when creating your roommate agreements.

Each person assigned to the room has...

- The right to privacy
- The right to personal safety and security of possessions
- The right to expect that roommate(s) will respect your personal belongings
- The right to have free access to the room
- The right to sleep and study in the room without undue disturbance
- The right to host guests per mutually established expectations related to visitation
- The right to a clean and organized living space, per mutually established standards of cleanliness
- The right to respect and civil treatment
- The right to be free from harassment, discrimination, and fear of intimidation and physical and/or emotional harm
- The right to ask for assistance and guidance from Residential Life Staff (such as Resident Assistants and/or Area Director) when necessary

### Residence Hall Staff are Available for Assistance in Settling Conflicts

We recognize that sometimes students need assistance in settling roommate conflicts. Your Resident Assistants (RAs) can be a great resource when you and your roommate are not able to come to a compromise on your own. RAs have received training to help with these circumstances, and Area Directors are also available to support. We encourage you to first try to work things out on your own, but staff are happy to help out if needed.

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## Last Reviewed: Aug 14th, 2018

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Maintained by Residential Life

# Safety

**The safety of students is very important. As a result, the Carleton College has in place equipment, policies and procedures to help protect our residents. It is important that students be familiar with our policies and procedures so they can act responsibly to help keep themselves and others safe.**

## Fire Safety

The density of the population in the halls and houses, combined with the age of some of the buildings make fire safety an important issue for everyone. Like security, fire safety is the responsibility of every resident; one damaged smoke alarm or one overloaded extension cord can put the entire building at risk.

All residential facilities are protected by fire detection and fire fighting equipment. Each room has a smoke detector that will sound with a limited amount of smoke. Room detectors in the residence halls and the public areas of the houses are wired to a central alarm system. Should the battery in a smoke detector need replacement, contact the Maintenance Office at Ext. 4133 during the normal work week (M-F,8-5) and Security Services at Ext. 4444 after hours. Students are not to remove batteries. Always contact Security to silence/disconnect a detector (even if the detector is malfunctioning). When an extinguisher is used for any reason, inform Hall Staff immediately so they can contact Security Services or the Maintenance and Custodial Office to have the extinguisher recharged.

**If you spot a fire or smoke**, sound the alarm immediately. Then, from a safe location call the fire department (9-911) and Security (ext. 4444), identify yourself, and give the appropriate information on the location.

**When a fire alarm sounds**, all residents of the hall/house **MUST** leave the building via the nearest exit. **NEVER USE THE ELEVATOR AS A MEANS OF ESCAPE.** Once the situation is resolved/investigated, the “all clear” will be given by Security and residents may reenter the building. Students who do not leave the building during a fire alarm may face formal disciplinary charges. The minimum fine for a first offense is \$250. Additional violations of this rule will increase the fine amount, up to \$1000.

Students should acquaint themselves with the emergency escape plan of their living area. Throughout the year the fire alarm system is tested in each residence hall to assure that it is in working order. When an alarm sounds all residents must vacate the facility via the nearest exit to ensure their safety and to ascertain the cause of the alarm. Residents will be permitted to re-enter the building when Security Services personnel have determined it is safe to do so. If possible, before leaving the room, residents should close all windows, turn lights on, and exit via the stairwells, not the elevators. Residents should notify their RA, House Manager, or Area Director immediately if they believe that a smoke detector or other fire fighting equipment is malfunctioning.

Tampering with equipment is not only against College policy and federal law, it jeopardizes the safety of every resident of that building. Discharging fire extinguishers, setting off fire alarms under false pretenses or failing to leave the building when a fire alarm sounds have life-threatening implications. In addition to any local municipal action, the College reserves the right to initiate formal disciplinary charges for these offenses. The minimum fine for a first offense is \$250. Additional violations of this rule will increase the fine amount, up to \$1000. There may be additional restitution costs for any items needing maintenance.

Safety inspections are conducted by Residential Life Staff in all student residential facilities. During Fall term residents and staff identify any potential fire or safety hazards existing within rooms and alert residents as to hazards. Fire drills are conducted each term. Residents are expected to comply with the fire safety guidelines provided and to remedy any existing problem. Hallways should remain clear at all times as furniture or personal belongings left in the hallway block access and increase risk of personal injury. Electrical cords are not to be run through hallway doors due to increased risk of fire. Residents are not to have items or materials in their rooms, nor are they to decorate their rooms, in a manner that could increase the risk of fire.

### **Security and Safety**

Safety is fundamental to group living. We need each resident to do his/her share in keeping our residential spaces safe for everyone. Please contact Security Services or Residential Life if you have any questions.

#### **EMERGENCY 9-911**

**Residential Life, Ext. 4072**

**Security Services, Ext. 4444 (24 hours a day)**

### **[Severe Weather and Tornadoes](#)**

Living in the Midwest, we must contend with the threat of severe weather which may include tornado activity. On the first Wednesday of each month the city of Northfield tests the tornado warning system at 1 p.m.. In the event of a threat of a tornado approaching the area, the City will sound the warning siren. Should you hear the siren, please go immediately to the lowest level in the building. If there are windows at that level, please go to an inside corridor or any area without windows. Most buildings on campus have blue and white signs to identify safe areas. You should stay within the safe area until the all clear siren sounds. In the event of a tornado warning, Security Services and Residential Life will work with students and staff to move individuals to safe areas.

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*Approved by Residential Life on July 25, 2007.*

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For [Students](#)

**Last Reviewed: Sep 15th, 2014**

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Maintained by Residential Life

## **Selling on Campus**



Sales people are not permitted in college buildings except to do business with college officials. They are specifically prohibited from selling within residential spaces where students live. They are not to sell in other places on campus without prior approval from college officials.

Under no circumstance may students, faculty, and staff use the college as a personal or corporate business address or represent themselves as doing business on behalf of the college. Students, faculty, and staff should not use college resources for personal business. This includes solicitation through campus mail and campus email addresses. Student organizations that wish to fund-raise on college property must first contact the Director of Student Activities for authorization to do so. If approved and if space is available, the college will allow the orderly sale of appropriate items and materials in the Sayles-Hill Campus Center.

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For [Faculty](#), [Staff](#), [Students](#)

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**Last Reviewed: Mar 4th, 2021**

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Maintained by Dean of Students

## Smoking

Carleton College recognizes that using tobacco products is harmful to the health of tobacco users and that exposure to second-hand smoke poses a health risk to non-smokers. The College complies with all applicable state and federal regulations pertaining to smoking.

The College acknowledges that smoking is a personal choice and that some students, faculty and staff choose to smoke.

The College is committed to providing educational programs to assist its students and employees in making healthy lifestyle choices.

## Public Spaces and Private Offices

Smoking and the use of e-cigarettes (which includes vapes, pens, hookah, etc.) is prohibited in all indoor public spaces, including but not limited to: all classrooms, lounges, bathrooms, vending areas, hallways, indoor athletic facilities, dining halls and social spaces such as Sayles-Hill “Great Space” and The Cave. Smoking and the use of e-cigarettes is also prohibited in private offices. There are designated smoking areas outdoors.

## Residential Living Spaces

Smoking and use of e-cigarettes is prohibited in all residential facilities including student rooms, restrooms, lounges, hallways, and stairwells.

*All entrances, exits, ground floor windows, and areas around air intake vents of campus buildings are to be smoke free.* To prevent the problem of building entryways from becoming smoke-filled, those who smoke must be at least 50 feet from the entrance. This policy is concurrent with Minnesota law.

## Student Violations

Students who violate any aspect of the smoking policy will receive disciplinary sanctions and life

safety fines.

Minimum fines are:

- First violation: \$250 fine/per person
- Second violation: \$500 fine/per person
- Third violation: \$1,000 fine/per person

Any student found in violation of the [Alcohol and Other Drugs Policy](#) (e.g., marijuana) may also be found in violation of the smoking policy.

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*Smoking Policy adopted February 1996.*

*Approved by College Council, May 2002. Approved by the Executive Committee of the Board of Trustees June 2002.*

*Revision approved by College Council February 23, 2004. Approved by the Board of Trustees June 2004.*

*Reviewed and updated August 2011.*

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Last revised August 1, 2011

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For [Alumni](#), [Faculty](#), [Families](#), [General Public](#), [New Students](#), [Prospective Students](#), [Staff](#), [Students](#)

**Last Reviewed: Aug 18th, 2020**

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Maintained by Human Resources

## Social Events

Social events and parties, with or without alcohol, may be held in the residence halls and small houses so long as the rights of other residents and neighbors are respected. Social event hosts and the occupants of the room hosting the event are responsible for the behavior of their guests and for ensuring that all applicable College regulations are respected.

Normally, **small events** may be sponsored within individual rooms. A small event is defined as one at which no more than five guests per resident of the room shall be in attendance. As an example, three students in a triple may have a total of fifteen guests without needing to move or register the event. Events and parties which are larger than this generally disturb other residents or neighbors; therefore, larger events are allowed in locations which are less disruptive to others. As a courtesy, students hosting small events should consult with their neighbors. Small events must end by 11 p.m. weekdays and 1 a.m. on Friday and Saturday.

**Large events** or parties at which more than five guests per occupant are expected to attend or which are held in lounges within the residence halls or small houses must be registered. Large events must be approved by the RA/ House Manager and the Area Director by noon on Thursday. In addition, the space must be reserved at least five days in advance of the event. Large events in public areas within residential facilities are normally scheduled for Friday or Saturday. Social events must conclude by 1 a.m. at which time guests should depart and the area should be cleaned. [Social Event Registration](#) forms are available from the Office of Residential Life or the Area Director. All-

campus social events and parties are not allowed in student residential areas. Events scheduled for non-residential areas are scheduled through the [Student Activities Office](#). Large, all-campus parties are restricted to Carleton Students and their guests, who must be accompanied by their host.

**Alcohol** may be served at social events in accordance with College policy. Hosts of an event at which alcohol is to be present are responsible for ensuring that non-alcoholic beverages and food are present, that those who are visibly intoxicated are not served, and that only those of legal age are consuming alcohol. In addition, it is against Minnesota State law to sell or charge for alcoholic beverages without a license; therefore, students may not charge or sell alcohol at either large or small events. The social event registration form provides detailed information regarding host responsibilities, which are discussed with each host prior to approval of the event. For reference, please visit the [Alcohol and Other Drugs Policy](#) on the Dean of Students page.

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*Approved by Residential Life on July 25, 2007.*

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For [Students](#)

**Last Reviewed: Sep 22nd, 2014**

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Maintained by Residential Life

## Solicitation, Door-to-Door

Solicitation or door-to-door canvassing or is not permitted in residential spaces.

Candidates for election to public offices are allowed by Minnesota State Law to go door-to-door for the purpose of campaigning. They must receive advanced permission from the Office of Residential Life before entering any residential building. Candidates are not allowed to solicit funds while campaigning in the residential buildings.

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*Approved by Residential Life on July 31, 2006.*

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For [Students](#)

**Last Reviewed: Jul 17th, 2019**

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Maintained by Residential Life

## Storage

Limited [Storage](#) is available for currently enrolled students who choose not to take possessions off campus during the summer, or when off campus for Off Campus Studies or a Leave of Absence.

All items must be contained in boxes, suitcases, trunks. Small refrigerators are also allowed in storage. Limited bicycle storage is available. A current storage ticket must be displayed on each item. Storage tickets can be purchased from the Bookstore,

Carleton College assumes no responsibility for loss, damage or theft of items placed in storage. Personal Property insurance is recommended.

Private facilities are also available within the Northfield area.

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Approved by Residential Life on July 31, 2007.

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For [Students](#)

**Last Reviewed: Dec 28th, 2018**

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Maintained by Residential Life

## Student Marriage

Students who wish to marry and remain in student status must inform the Dean of Students by filing a copy of the marriage certificate in the Office of the Dean of Students. Financial aid status may be affected. The College does not provide married student housing.

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For [Students](#)

**Last Reviewed: Jan 4th, 2021**

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Maintained by Dean of Students

## Student Motor Vehicles and Parking

**All student motor vehicles**, including students living in non-Carleton owned housing (Northfield Option and hotels), are required to be registered each academic year with the college. Applications for permits must be submitted online to the Dean of Students office. A limited number of registration approvals are available, maximum one per student.

First year students are not be allowed to have vehicles on campus. Exceptions may be made for extenuating circumstances (documentation may be required). Reasons such as the need to drive to campus, a job off campus, or wanting to visit relatives in the area are not considered extenuating circumstances.

## Regulations/Registration

**This policy shall be in effect on the first day of classes fall term up to the first day of winter break, and from the first day of classes winter term through final exams spring term, including midterm breaks and spring break (except for the sections regarding moving violations and parking in restricted areas, which apply all year).**

- While attending Carleton College, students are not permitted to drive or possess motor vehicles (cars, trucks, motorcycles, and other such licensable motor vehicles) within the city limits of Northfield except as outlined in the policy. Those students whose applications are received after all available spaces have been assigned will be asked to remove their motor vehicles from Northfield.
- Applications for student permits are required, and are to be submitted via the online [Student Vehicle Registration Application](#). The Dean of Students office will review all applications. Students granted permission to keep a vehicle in Northfield will be issued a parking permit which must be picked up at Campus Services and affixed to the rear bumper of the vehicle on or before the date specified on the approval.
- A fee of \$75 per term or \$200 for the full academic year will be charged for parking a motor

vehicle on campus. If students have arranged to store vehicles elsewhere which provides an off-street parking space (e.g., renting a garage) they may do so. The vehicle must still be registered with the college.

- Students temporarily possessing a motor vehicle for a contiguous time period of up to two weeks must obtain a temporary parking permit. These permits may be applied for using the online [Student Vehicle Registration Application](#). Vehicles issued a temporary permit must park in the lot assigned by the Dean of Students office (typically the Rec Center parking lot). There is no fee for a temporary parking permit. Students are limited to one temporary parking permit per academic term.
- Students leaving their vehicle on campus during the winter or summer breaks must obtain permission and parking assignment from the Dean of Students Office. Failure to obtain such permission may result in the owner being responsible for necessary towing and storage fees.
- Students living in non-Carleton owned housing off campus must be provided at least two off-street parking spaces by their landlord, therefore up to two parking permits may be issued by the college for each residence. Vehicle registration for this category is \$25 per term.
- Students who use personal vehicles for college business are advised that by law every motor vehicle which is operated on the public roads, streets and highways in Minnesota must be covered by proper no-fault and liability insurance. Under the financial responsibility law for the State of Minnesota, an owner is legally responsible for their own automobile when the car is being used by a second party. The owner becomes liable for any negligence of the driver of the car. For this reason we ask that all faculty, staff, and students who use or loan their cars for authorized college trips be certain that satisfactory limits of insurance for bodily injury, property damage, and medical payments are carried.

## Where to Park

- Your assigned parking location is the only place on campus you are allowed to park during the hours of 7 a.m. to 3 p.m., Monday through Friday. Vehicles with off-off-campus (Northfield Option) permits may not park anywhere on campus during these hours. Outside of these hours, any legal parking space on campus may be used.
  - During winter break you may park in any designated student parking spot during the hours of 7 a.m. to 3 p.m.
- Per college policy, students cannot park vehicles on city streets between the hours of 2 a.m. and 6 a.m. every night of the week.
- In addition, **City of Northfield parking regulations** state (1) no person shall park a vehicle in one space upon a street or municipally owned parking area for a period exceeding 48 consecutive hours, and (2) there shall be no parking on city streets between the hours of 2 a.m. and 6 a.m. from November 15 until March 15. Any citations for violations of City of Northfield regulations will be issued by Northfield Police.

## Citations/Complaints/Fines

Fines imposed for violations of the Student Motor Vehicle Policy or Carleton parking regulations will be due and payable in the Business Office or the Hub upon receipt by the student of a vehicle citation.

**Current fines include:**

- **Possession of an unregistered vehicle:** first offense \$40 fine; second offense \$60 fine; third offense \$80 fine; subsequent offenses \$100 fine, tow, and/or loss of parking privileges on campus.
- **Parking in a handicap stall:** first offense \$80 fine; second offense \$100 fine; third offense \$120 fine; subsequent offenses \$150 fine, and/or tow.
- **Parking on a city street between 2 a.m. and 6 a.m. or parking in an area other than assigned lot or where otherwise restricted:** first offense \$10 fine; second offense \$20 fine; third offense \$40 fine; subsequent offenses \$60 fine, tow, and/or loss of parking privileges on campus.
- **Parking in a fire lane:** first offense \$40 fine; second offense \$60 fine; third offense \$80 fine; subsequent offenses \$100 fine, tow, and/or loss of parking privileges on campus.
- **Careless or reckless driving on any campus road or walkway:** first offense \$40 fine; second offense \$60 fine; third offense \$80 fine; subsequent offenses \$100 fine and/or loss of right to operate a motor vehicle on campus for a period of one year.
- **Failure to display a valid permit:** first offense \$10 fine; second offense \$20 fine; third offense \$40 fine; subsequent offenses \$60 fine.
- **All other violations of Carleton parking regulations:** first offense \$10 fine; second offense \$20 fine; third offense \$40 fine; subsequent offenses \$60 fine and/or tow.

When a violation is accompanied or characterized by other behavior such as careless driving, driving while under the influence of alcohol or other drugs, or other behavior in violation of the Community Standards Policy, the student may be charged with additional violations of the Community Standards Policy and/or Minnesota State Statutes.

All complaints against students concerning Student Motor Vehicle Policy violations shall be submitted to the administrator of that policy. Complaints may be filed by any member of the Carleton community, as well as by any resident of Northfield. Reports should include the following information if available: a description of the vehicle, its license number and state, the location, time, and date of the alleged violation, and details concerning the nature of the incident. Security personnel shall have the right to question any students concerning their relationship to a specific vehicle should a reasonable suspicion of a violation exist.

If a student wishes to appeal a citation, an in-person request must be made to Security Services for consideration within five academic days after delivery of the citation. The right to appeal is relinquished by failing to contact Security Services within the prescribed time period.

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Last revised December 12, 2012

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For [Families](#), [New Students](#), [Prospective Students](#), [Students](#)

**Last Reviewed: Aug 17th, 2021**

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Maintained by Dean of Students

## Substance-Free Housing Area

### Substance-Free Area Purpose

These areas are communities that are substance-free, in order to provide the option of a residential

lifestyle free from the possession of alcohol, non-prescription or other illicit drugs, or tobacco products. Members of the community are expected to respect and adhere to the substance-free values in order to uphold the well-being and honor of their peers.

### **Substance-Free Area Guidelines**

The possession or use of alcohol, controlled substances, and tobacco products by residents or their guests is prohibited in student rooms and public spaces in Substance-Free Areas. If residents or their guests choose to use such substances outside of the Substance-Free Area, the results of that choice must not have a negative impact upon residents or property upon return to the Substance-Free Area. Residents are responsible for the behavior of their guests.

### **Consequences of Violating Guidelines**

Non-compliance with the Substance-Free Area Agreement at any time during the year may result in housing reassignment and/or additional conduct sanctions.

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Last revised May 2, 2018

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For [Students](#)

**Last Reviewed: May 2nd, 2018**

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Maintained by Residential Life

## **Telephones in Student Residential Spaces**

Land-line telephone service is available, in halls and houses, by request. Students should contact the [Telecommunications Department](#) for more information.

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*Approved by Residential Life on July 31, 2009.*

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For [Students](#)

**Last Reviewed: Aug 14th, 2018**

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Maintained by Residential Life

## **Television in Student Residential Spaces**

Most residence halls and some houses have televisions in the community lounges. These televisions must remain in their assigned locations. Cable TV is available in these spaces. Cable television is not offered in individual student rooms.

The installation of outside antennas for TVs and/or radios and the splitting or tapping into any antenna or antenna cable is prohibited. The unauthorized connection to a cable TV signal is a crime and legal prosecution may occur. Additionally, students will be charged for removal and or repair of any tampering.

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For [Students](#)

**Not Reviewed**

## Theft or Damage to Property

Attempted or actual theft of or damage to property is against College Policy. Students found responsible for theft and/or vandalism will face disciplinary consequences, including student status changes, restitution, and fines. The minimum fine for a first offense is \$250. Additional violations of this rule will increase the fine amount, up to \$1000.

The College is not responsible for the personal belongings of students. Students should lock their room doors and the outside doors of their houses. Do not let anyone "tailgate" or enter an outside entrance without a College OneCard. It is recommended that valuables, such as computers, be insured and the serial numbers recorded. Residential Life provides information on how to obtain [personal property insurance](#) through a national insurance carrier.

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*Approved on July 31, 2007.*

For [Students](#)

**Last Reviewed: Aug 18th, 2020**

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Maintained by Residential Life

## Unlawful Use of Drugs and Alcohol

### Introduction

The Drug-Free Schools and Communities Act Amendments of 1989 (Public Law No. 101-226) require colleges and universities to adopt a program to prevent the use of illicit drugs and the abuse of alcohol by students and employees.

See [Drug-Free Workplace policy](#).

All Colleges and universities must give notice to each student and employee that unlawful use of drugs and alcohol is prohibited, describe applicable legal sanctions and health risks, list counseling programs available, and advise students and employees that violation of this policy could lead to penalties up to and including expulsion from the College, termination of employment, and/or referral to civil authorities for prosecution.

The College is committed to maintaining a campus and workplace environment where members may live, learn, and work free of the deteriorating effects of drug and alcohol abuse. To this end the College carries out drug and alcohol abuse education and prevention programs.

### Policy Requirements

The unlawful possession, use or distribution of illicit drugs and alcohol by faculty, staff, or students on College property or as part of any of its activities is absolutely prohibited. Carleton College grants permission for reasonable and lawful consumption of [alcohol at registered College events](#) when served by a licensed caterer such as Bon Appétit.

### Legal Sanctions

In addition to disciplinary sanctions by the College, students and employees who violate the law maybe subject to criminal prosecution under federal, state and local laws that specify imprisonment and fines for conviction of alcohol and drug-related offenses. The seriousness of the offense and penalty imposed generally depends on the type and amount of substance involved. The following



links are provided to ensure awareness of legal sanctions:

[Provisions of the Federal Controlled Substance Act, 21 U.S.C. 801 et al.](#)

[Federal Trafficking Penalties](#)

[MN Controlled Substances Laws and Sanctions](#)

[MN Underage Alcohol Offenses](#)

[Northfield City Codes & Ordinances](#)

### **College Consequences**

Any faculty, staff, or student found in violation of this policy will be subject to disciplinary actions by the College up to and including expulsion from the College, termination of employment, and/or referral to civil authorities for criminal prosecution. The College may also require participation in an appropriate drug or alcohol assistance or rehabilitation program.

### **Risks to Life and Health**

Abuse of drugs and alcohol leads to impaired behavior and judgment, a jeopardizing of relationships, and the likelihood of deteriorated work performance. Associated health risks include increased risk of accidental injury or death, depression, suicide, brain damage, heart and respiratory failure, liver damage, and sexually transmitted disease due to impaired sexual decisions.

### **Counseling, Treatment and Rehabilitation**

Drug or alcohol counseling, treatment and rehabilitation/re-entry programs for faculty, staff, and students are available from a variety of sources. Anyone who recognizes a personal drug or alcohol problem, is concerned about another student or co-worker, or who may wish to know more about drug and alcohol abuse may contact:

#### **Internal Sources**

##### **Students**

Dean of Students Office, ext. 4248 or 4075

Residential Life, ext. 5465

Student Health and Counseling, ext. 4080

[Office of Health Promotion](#), ext. 5246 or 5587

##### **Faculty and Staff**

Dean of the College, ext. 4303

Human Resources Office, ext. 7471

[Employee Assistance Program](#) with Health Partners

#### **External Sources**

[Alcoholics Anonymous](#)

[Omada Behavioral Health Services](#) HCI in Northfield

[Rice County Mental Health & Chemical Dependency](#)

[Dakota County Chemical Health](#)

[Northfield City Codes & Ordinances](#)

### **Biennial Review**

Human Resources, the dean of students, and the dean of the college will conduct a biennial review of the College's Drug and Alcohol Abuse Prevention Program to determine its effectiveness, implement needed changes, and insure consistent enforcement of disciplinary sanctions.

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Last revised January 1, 2003

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For [Faculty](#), [Staff](#), [Students](#)

## Use of Unmanned Aircraft Systems (Drones) On and Off Carleton's Campus

### Policy Statement

This policy exists to ensure safe and proper operation of Unmanned Aircraft Systems (UAS), commonly referred to as drones, for the benefit of the Carleton community. The conditions outlined here are in addition to Federal or State requirements.

**All UAS operation must be in compliance with [FAA regulations](#) and [State of Minnesota regulations](#). In addition...**

### On-campus operations of a UAS:

- 1) Must be conducted for purposes that benefits Carleton academics, public relations, communications, formally sanctioned programs or Carleton endorsed commercial reasons. *Recreational use of UAS is prohibited on Carleton property and in airspace over Carleton property.*
- 2) Must be conducted by or under the direct supervision of a pilot with a current FAA Remote Pilot's Certificate. The certified pilot must either be Carleton faculty or professional staff or be under the direct supervision of Carleton faculty or professional staff. UAS [Northfield AirSpace](#) map is available for your reference.
- 3) Requires that the certified pilot must serve as the Pilot in Command as defined by [UAS Pilot Certification Standards](#).
- 4) Requires that Carleton owned UAS' must be insured through Carleton's Business Office.
- 5) Requires that contractors or other third parties are hired or otherwise requested to use a UAS for purposes associated with a Carleton facility or event, the organizing department shall contact the [Risk Manager](#) to insure that the UAS owner and operator has adequate liability insurance and take the risk mitigation arrangements deemed appropriate.
- 6) Requires the Pilot's FAA license, [FAA Drone Registration](#), and Certificate of Insurance must be on record with Carleton's Risk Manager and the Security office prior to any flight. (To ensure processing time, it is recommended that these documents be submitted no fewer than seven (7) days prior to the flight date). Additionally, while operating the UAS on campus, all non-Carleton faculty/staff must be able to immediately produce the written approval from Carleton's Risk Manager. [The Permission Request and Document Submission Form is available here.](#)
- 7) Requires that all UAS pilots must have written permission from the director of the associated Carleton department or location supervisor. For example: flying in Carleton's arboretum must have written permission from the [Director of the Arboretum](#); flights involving athletics would require permission from the [Athletic Director](#).
- 8) Requires that any UAS flight must be preceded by notifying [Campus Security](#) with exact flight times and location.

9) Requires that any injuries or any damage to Carleton property that results from or is related to drone operation--no matter how minor--must be immediately reported to the Carleton Security office.

10) Requires that operators must be able to present an up to date Flight Log and Maintenance Schedule, and verification of inspection within last calendar year, upon request. [Sample Flight Log](#). [Sample Maintenance Schedule](#).

#### **Off-Campus Operations of a UAS:**

1) This sections applies to domestic and international drone flights.

2) Must adhere to rules outlined for On-Campus operations of a UAS.

3) Must be preceded by the Pilot in Command thoroughly reviewing all applicable laws and regulations for UAS operations at off-campus location.

4) Must be preceded by Pilot in Command obtaining written permission from the appropriate off-campus property manager and/or local authorities, where applicable.

#### **Prohibited Use**

1. **Recreational use of UAS is prohibited on Carleton property and in airspace over Carleton property.**

2. A UAS will not be used to monitor or record areas where there is a reasonable expectation of privacy in accordance with accepted social norms. These areas include but are not limited to student housing, restrooms, locker rooms, changing or dressing rooms, or health treatment rooms. "Surreptitious intrusion" or use of an "observation device" may be prosecuted under [Minnesota Statute 609.746 Interference with Privacy](#).

3. Carleton strictly prohibits flying any UAS/Drone indoors 1) without carefully planning safety protocols, 2) having those protocols approved by Carleton's Risk Manager, 3) and if the drone wights 55 lbs or more.

The College may, at its discretion, suspend any UAS activity deemed as dangerous, or otherwise interfering with, or interrupting the operations of the College. Should a discrepancy between College policy and FAA regulations exist, the more restrictive regulation will govern.

This policy will be reviewed annually by the Business Office and Carleton's FAA certified UAS Pilots.

Last Reviewed: February, 2021 Business Office

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Last revised February 3, 2021

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For [Faculty](#), [Staff](#), [Students](#)

**Last Reviewed: Feb 3rd, 2021**

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Maintained by Business Office

# Weapons and Explosive Materials

The presence of weapons and explosives (including fireworks, firecrackers, volatile materials such as lighter fluid, gasoline, and weapons) are a potential threat to the safety of students and are prohibited. In accordance with Carleton's Community Standards, fireworks, firecrackers, firearms, BB Guns, explosive materials, bows and arrows, swords, or knives with blades in excess of four (4) inches are prohibited from all residential buildings.

Possession of the materials listed above will result in disciplinary action that may include expulsion. Residents who want to bring rifles, shotguns, or bows and arrows for hunting or recreation can do so providing they take them to Security Services for storage immediately upon bringing them to Carleton.

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*Approved on July 25, 2007.*

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For [Students](#)

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**Last Reviewed: Apr 28th, 2022**

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Maintained by Security

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Academic Regulations & Procedures

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Buildings & Grounds

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College Governance

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Communications

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Community

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Employment & Benefits

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Events

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Faculty Appointments

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Financial

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Health & Safety

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**Housing & Residential Living**

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Information Technology, Documents, & Records

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Research

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Travel & Transportation

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The Campus Handbook is the one place to find all official Carleton College policies and guidelines. It contains the Student, Faculty, and Staff handbooks. These policies and guidelines are subject to change.

If you have questions or corrections, please email [campus-handbook.group@carleton.edu](mailto:campus-handbook.group@carleton.edu).

[Campus Handbook Archive](#) • [Tools for Policy/Guideline Maintainers](#)

This page last updated 27 December 2017.

[Login](#)

# Information Technology, Documents, & Records

## Accepting Credit Card Payments

### Purpose

In order to accept credit card payments, the College is required to comply with Payment Card Industry Data Security Standards (PCI DSS), which were established by the major credit card companies (American Express, Discover, JCB, MasterCard, and Visa) to protect merchants and cardholders from cardholder information theft. This policy will be reviewed at least annually and will be updated as needed to reflect changes in PCI DSS standards.

### Policy

Departments must contact the Business Office to receive approval prior to accepting credit card payment information, and follow the procedures described below to ensure the security of credit card transactions.

Departments are prohibited from storing credit card information electronically (in databases or excel worksheets) and sending credit card information via electronic means (i.e. e-mail, chat, instant messaging).

**Credit card information** is defined here to mean the full credit card number, the card verification code or the PIN. Credit card numbers appearing on receipts or reports must be truncated to the last 4 digits.

Only approved devices with PCI PIN Transaction Security (PTS) with end-to-end encryption may be connected to the Carleton network for credit card processing.

Access to cardholder data must be limited to only those individuals whose jobs require such access. Each individual with access to credit card information must have a unique user ID. User IDs should not be shared with other individuals.

All Information Technology data security standards are required to be followed when accepting credit card payments.

### Procedures

#### Establishing a credit card account:

1. Contact the Business Office for authorization to set up an account.
2. Departments processing credit card payments must attend training with the Business Office to

review the policies and procedures for accepting credit card payments.

3. The Business Office must establish all merchant accounts to ensure the Business Office has access to all accounts for monitoring and reconciliation purposes.
4. Departments must provide daily settlement reports to the Business Office for all credit card transactions unless other arrangements have been made.

### **Processing credit card payments over the internet:**

1. The Business Office has contracted with an online payment gateway that is PCI DSS compliant for receiving, transmitting and storing credit card data. Cardholder transaction information is collected and securely stored directly with the payment gateway or processor, at no time is credit card information collected or stored on College computers or transmitted by the College.
2. Departments obtain information directly from the payment gateway, only the information necessary to apply the payment (such as the name, amount and authorization code) may be retained at the department level. Files or print reports should not contain credit card information. The full contents of any data from the magnetic stripe, the card verification code and the PIN must not be stored under any circumstances. In the event of a dispute or chargeback, the transaction can be researched from the processor's website via a secure login.
3. Carleton Web Services will assist departments with setting up web sites for processing transactions over the internet.

### **Processing credit card payments where a card is presented in person:**

1. PCI DSS compliant credit card equipment will be provided to the Department by the Business Office through our merchant service provider. Imprint machines should not be used.
2. Credit card information must be truncated to the last 4 digits. The full card number must never be printed on anything, including the customer copy, our copy or batch reports. The card number should not be printed in either bar code or numeric format. In the event of a dispute or chargeback, research the transaction on the merchant account website via a secure login.
3. Signed slips or batch reports must be sent to the Business Office on a daily basis. Documents must never contain the full card number.

### **Processing credit card payments when the card is not present (mail or telephone):**

1. All rules that apply to "where card is presented in person" are applicable.
2. Promptly process the credit card information received. Following confirmation that the transaction has transmitted without error, immediately destroy credit card information received by cross-cut shredding so that credit card information cannot be reconstructed.
3. Never process credit card information that has been received by fax or e-mail. Contact the card holder (without forwarding their credit card information back to them) to let them know that their transaction could not be processed from this source and their message has been destroyed to protect their credit card information. Direct them to the online payment gateway OR have them mail the payment information OR accept their payment information verbally over the phone following the procedures described above.

## Reporting security incidents:

Employees must be aware of their responsibilities in detecting security incidents to facilitate the incident response plan and procedures. All employees have responsibility to assist in the incident response procedures within their particular areas of responsibility.

Examples of security incidents that employees might recognize in their day to day activities include, but are not limited to:

- Theft, damage or unauthorized access (i.e. papers missing from their desk, broken locks, missing log files, alert from public safety, evidence of a break-in or unscheduled/unauthorized physical entry)
- Fraud – inaccurate information within databases, logs, files or paper records

Immediately notify Security, ext. 4444 of any suspected or real security incidents involving cardholder data. Security will file an incident report in Advocate. In the event it is determined that credit card information has been compromised, the incident response steps defined in the Identity Theft Prevention Policy will be applied.

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Last revised August 24, 2018

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For [Staff](#)

## Last Reviewed: Oct 29th, 2020

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Maintained by Business Office

## Access to Personnel Files

Employees have the right to review their personnel files(s) every six(6) months while employed and once a year after their employment ends by submitting a written request to Human Resources.

For more information on Personnel file access, see the [MN Statute 181.961](#).

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For [Staff](#)

## Last Reviewed: Jan 6th, 2021

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Maintained by Human Resources

## College Data on Mobile Devices

### Scope

This policy governs the use of mobile devices to conduct college business or to access college data. Accessing college email and calendaring is considered to be conducting college business, and is therefore included in this policy. Carleton College has adopted this policy to safeguard the college's investments and data and to comply with various regulations. This policy applies to both college-owned and personally-owned mobile devices which connect to the Carleton network.

Mobile devices include any portable device that allows access to college information and data. These include but are not limited to laptops, mp3 players, smart phones, and iPads. The college



data covered by this policy includes:

- Protected Data (any data protected by state or federal guidelines)
- Sensitive Data (any data that the college has determined to be confidential)

The college data not covered by this policy includes:

- General College Data (any data pertaining to the operation of the college and use is not considered protected or sensitive)

For further details regarding the types of college data, see the Data Management and Access Guidelines (<http://apps.carleton.edu/campus/its/policies/dataguidelines/>).

## Policy

Employees must configure college and personally-owned mobile devices to safeguard college protected and sensitive data. Such data should only be stored on or accessed from mobile devices for the duration required for work purposes. If you are directly accessing college systems, such as Colleague, Slate, and Advance, you must use the identified secure connection method for that system, e.g. Citrix. If you are unsure of the appropriate connection type, consult with the ITS staff responsible for the system. Employees must also keep mobile devices physically secure, especially when left unattended.

College and personally-owned mobile devices must be configured with the following security measures:

- Protected by a PIN of at least 4 digits
- Screen must auto-lock after not more than 15 minutes of inactivity
- Device must accept remote wipe commands
- Device must be encrypted if protected data is stored on the device

If you are accessing Carleton email on your mobile device, it must be accessed directly and not forwarded to a personal email account.

To protect college data, the college reserves the right to remote wipe any college-owned mobile devices, or any personally-owned devices that have accessed college systems or data, including email servers. See the Information Security Plan (<http://apps.carleton.edu/campus/its/policies>) for further instructions regarding the protection of college data.

## Procedures

### Securing your device

ITS maintains a document (<https://wiki.carleton.edu/dashboard.action>) outlining the methods to secure your mobile device. If you will potentially be accessing data covered by this policy, you must adhere to these guidelines.

### Lost Devices

A lost or stolen device must be reported to Campus Security as well as local law enforcement in the area where the device was lost.

## Device Disposal

At the end of its life, a college-owned mobile device must be returned to and disposed of by IT. Personally-owned mobile devices should be wiped of any protected data. See the Device Disposal Guidelines (<https://wiki.carleton.edu/dashboard.action>) for information on proper disposal.

## Notifications for Breach of Security

Minnesota's Security Breach law (Statute: § 325E.61) requires that "Any person or business that conducts business in [Minnesota] and that owns or licenses data that includes personal information, shall disclose any breach of the security of the system following discovery or notification of the breach in the security of the data to any resident of this state whose unencrypted personal information was, or is reasonably believed to have been, acquired by an unauthorized person. The disclosure must be made in the most expedient time possible and without unreasonable delay . . . ."

If you believe that college data containing personally identifiable information, or any other college protected or confidential data, may have been breached, the following steps should be taken immediately:

1. The individual who discovers the breach should immediately notify Campus Security.
2. Campus Security will contact the VP for Finance and Treasurer and the Director of Information and Technologies.
3. Campus Security, the VP for Finance and Treasurer, and the Director of IT will determine if a breach of security of data has occurred, and the appropriate action to take.

Campus Security, the VP for Finance and Treasurer, and the Director of IT may utilize guidance for dealing with a data breach and sample notification letter formats that can be found on the Federal Trade Commission website: <http://www.ftc.gov/bcp/edu/microsites/idtheft/business/data-breach.html>

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*Technology Priorities and Planning Committee (TPPC)*

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Last revised June 1, 2012

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For [Faculty](#), [Staff](#)

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**Last Reviewed: Jul 20th, 2015**

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Maintained by Information Technology Services

## Data Management and Access Guidelines

### Goals

Data captured and maintained at Carleton College by the various administrative offices constitutes a College-wide resource. Although it may reside in different applications, spreadsheets, databases, etc., this data may be viewed collectively as a single logical resource — one to which an integrated set of guidelines needs to be applied. The purpose of this document is to outline these guidelines, articulate common principles, lay the groundwork for optimal use of the College's data, and address commonly asked questions. It is imperative that employees who access data understand these issues.

## Whose data is it, anyway?

The value of Carleton's data lies in its usability. Data that lies unused due to bad or missing documentation, errors, poor technical support, or unnecessary access restrictions has little value. In order to provide maximum value to the institution, therefore, our data must be well documented and supported, accurate, accessible, and as lightly encumbered as we can legally, reasonably, and ethically make it. Where appropriate and feasible, it must also be centrally accessible to employees using standard software tools and methods. Data may be stored in different systems and maintained by various offices, but the data is ultimately a resource owned by the College.

## How should we maximize data access?

Data access can be broken down into three parts: obtaining authorization to use a data system, entering and maintaining data, and extracting data out of a system.

The task of granting access to enter and maintain data in administrative systems typically falls to the office responsible for the relevant business process. For example, since the Business Office maintains invoices, it is responsible for deciding who can enter and maintain this data in the system of record. ITS or other system support people may set up security at the system level, but their job is to implement the decisions of the responsible office. If, therefore, you feel that you need access to information, you should contact the office responsible for the relevant business process.

Similarly, the task of granting access to take data out of a system, whether in the form of a report or a data extract, typically falls to the office responsible for the business process in question. For example, if an employee wants a file of information on current employees, that employee should contact Human Resources. It is the responsibility of everyone who accesses data to check with the primary owner to ensure that the data is interpreted, compiled, and distributed properly.

## What is protected data? Sensitive data? Public data?

### Protected

Protected data consists of paper and/or electronic data that contains personally identifiable information concerning any individual and is therefore typically regulated by local, state, or federal privacy regulations and/or voluntary College standards. Any paper or electronic data that contain this information must be classified as protected data by default.

Examples include but are not limited to:

- Social Security numbers
- Credit card and debit card numbers
- User names with passwords
- Medical information

### Sensitive

Sensitive data is any paper and/or electronic data that is not classified as protected data but should not be distributed to the general public according to College practice. It is often acceptable to share sensitive data within the College in cases where there is a legitimate educational purpose or specific business need. The department responsible for stewarding the data makes this

classification.

Examples of sensitive data include but are not limited to:

- Student educational records
- Admission files such as ACT, SAT, and TOEFL scores, high school and college transcripts, and other scholastic records
- Student account data and loan information
- Financial assistance application files, student work-study information, and scholarship and loan information not considered protected financial information
- Budgets and salary information
- Alumni information such as philanthropy, wealth, contact, and giving data
- Tenure review
- Disciplinary records
- Bank account numbers and routing information
- Database primary ID numbers

Be aware that any information classified as a student record requires special attention. Access to student records is governed by a variety of privacy laws such as the Federal Educational Rights and Privacy Act (FERPA). Those who work with student records should be very familiar with the [policy on student records](#) in the Student Handbook. In particular, a student's directory information may be released under certain circumstances, but not if the student has invoked his or her FERPA rights to suppress the release of this information. All questions about such FERPA issues and about the release of directory information should be addressed to the registrar. All employees are expected to take [FERPA training](#) as a condition of employment.

## Public

Public data is any paper and/or electronic data that the College is comfortable distributing to the general public. For department-specific data, this classification is determined by the responsible department. If more than one department is charged with stewarding the data, all involved departments should jointly classify the data; if they are unable to come to consensus, the data must be classified as sensitive data. Examples of public data are:

- Faculty and staff
- Department Web and mailing addresses
- Press releases
- Unauthenticated College Web site content

Any College data that does not contain personally identifiable information and has not been classified as protected data or sensitive data is classified as public data.

## How do I send data off campus?

Employees may occasionally field requests to send data to Carleton employees currently located off campus. The guidelines outlined in this document should apply to all such requests. Employees may

also field requests to send data to parties not affiliated with Carleton College. If it is deemed appropriate for the data to be sent (e.g., if the party has a legitimate business or legal need to see this information), it is critical to ensure that the data is communicated securely and that, once communicated, is housed in a secure fashion.

For example, any electronic transmission of protected or sensitive data must be encrypted. Public data need not be encrypted during transmission, nor while at rest on a storage device. Please call the ITS helpdesk (**x5999**) if further guidance is required.

## **How do I store and share data on campus?**

Protected data may only be stored and shared by designated servers and applications. General-purpose file servers (e.g. Collab) may not be used to store protected data. ITS will scan general-purpose servers periodically to ensure that they remain free of protected data and will provide separate high-security file shares to departments with an identified business need to store protected data. Protected data must not be sent via e-mail unless the transmission is encrypted. For cases where secure electronic transmission is not practical, ITS will provide the means to encrypt portable media.

Sensitive data may be stored on general-purpose file and Web servers with appropriate access controls. The use of e-mail to send sensitive data is permitted, subject to the following caveats: Staff members must not forward an e-mail containing sensitive information to non-Carleton servers (Yahoo, Gmail, etc.); staff members must not assume that their correspondents have complied with the previous requirement; staff members must be extremely careful to address messages properly; and staff members must be mindful that once sent via e-mail, information could be intercepted or forwarded beyond their control. Sensitive data stored on portable media must be encrypted, even if it is never intended to leave campus.

Public data, by definition, has no confidentiality requirement. However, it should be posted on supported servers to help maintain data integrity, availability, and cost effectiveness.

## **Are employees required to sign forms before gaining access to data?**

Employees at Carleton are required to sign a system request form in order to gain access to administrative systems. This form includes text regarding the confidentiality of data.

## **What must be done with protected or sensitive data that is no longer needed?**

Printed matter containing protected or sensitive data must be shredded. CDs and DVDs must be shredded or broken. Departments that regularly handle protected and sensitive data must obtain equipment and develop procedures sufficient to handle the volumes of material they generate.

Electronic devices, including computer hard drives, USB flash drives, and mobile phones can be difficult to wipe securely. It is important to understand that simply emptying a computer's recycle bin does not actually delete file data. All devices containing protected or sensitive data—including computers and USB flash drives—must be brought to ITS to be encrypted and/or securely wiped before they are transferred to another employee with a different organizational role or before they are retired/resold/donated/recycled.

## Who decides how long to retain data?

Proper retention and back-up of records is essential to conduct the business of the College; to protect the legal interests of the College, students, and employees; to preserve the College's history; and to comply with applicable state and federal laws and regulations. In addition, the College is obligated to preserve records in certain cases, such as when litigation is threatened or pending. To ensure efficiency and effective management of physical and digital storage resources, it is also important that unneeded records be disposed of in a timely manner. This practice applies to all departments, divisions, offices, and employees of the College.

It is the responsibility of each department to destroy the data that it originates or receives when the data is no longer needed. All departments that maintain College data are responsible for establishing appropriate data management procedures and practices.

## What do I do if I discover a breach of data security or other related incident?

If you become aware of any acts that breach these guidelines, you should contact the ITS helpdesk **(x5999)immediately**.

If you suspect that a work computer containing protected or sensitive data has been compromised by a virus or other attack:

- Immediately stop using the computer. Do not close open files. Do not log out.
- Disconnect from the network. Physically disconnect the Ethernet cable and switch off wireless, if applicable.
- Call the ITS helpdesk **(x5999)**.
- Do not run antivirus scans or allow the ITS helpdesk to run antivirus scans until the likelihood of data breach has been established.

## If I work from home or travel for work, how can I securely take data off campus?

All laptops, USB flash drives, or other portable devices that contain or are used to access sensitive or protected data must be encrypted. Protected data must not be stored on general-purpose servers such as Collab or on Carleton's e-mail servers. Before an employee plans to leave campus with sensitive or protected data, he or she should ensure that devices that contain or will likely contain such data are encrypted and have VPN access to any required on-campus servers. Employees must not transfer such data to their home computers or storage devices, except under special circumstances determined by ITS. Contact the ITS helpdesk **(x5999)** for assistance.

If a computer or storage device containing College data is lost or stolen, contact the ITS helpdesk **(x5999)immediately**.

## If I'm considering purchasing a system that will store Carleton data, what questions should I ask?

There are sometimes good reasons to purchase new software systems that store or access data rather than use an existing enterprise system. Departments considering such purchase should

always contact ITS to discuss the purchase and decide whether or not the new system has potential data security issues. If it is decided that a purchase will be made, data will either be stored locally at Carleton in a database, or off-site at a vendor database. If the data is to be stored off-campus, information will need to be gathered from the vendor regarding its security standards and practices. Typical questions that should be asked include, “Have you done any security audits?” and “Can you tell us who in your company can access our protected or sensitive data and/or who has in fact accessed that data?” Please call the ITS helpdesk (**x5999**) to get in touch with the ITS person who can help you with the process of going through these questions and collecting and assessing responses from the vendor.

## Appendix

- [IRB policy on Secondary Analysis of Existing Datasets](#)

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*Written by: Data Management Group*

*Approved by: Administrative Computing and Advisory Committee*

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Last revised November 1, 2010

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For [Faculty](#), [Staff](#)

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**Last Reviewed: Feb 1st, 2021**

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Maintained by Information Technology Services

## Data Risk Classification Guidelines

Carleton College is committed to protecting the privacy of its students, alumni, parents, faculty, staff, and all affiliated entries, as well as protecting the confidentiality, integrity and availability of information important to the College’s mission. Carleton has classified its information assets into risk based categories for the purpose of determining who is allowed to access the information and what security precautions must be taken to protect it against unauthorized access.

As of August 2016, a new set of classification guidelines has been established and is now in effect for Carleton College data and systems: **Low Risk**, **Medium Risk**, and **High Risk**. The former data management framework of “Protected, Sensitive and Public” has been replaced by these new guidelines.

*Special note to Carleton researchers: Except for regulated data such as Protected Health Information (PHI), Social Security Numbers, and financial account numbers, research data and systems predominately fall into the Low Risk classification. Review the classification definitions and examples below to determine the appropriate risk level to apply.*

### Low Risk

Data and systems are classified as Low Risk if they are not considered to be Medium or High Risk, and the data is intended for public disclosure.

### Medium Risk

Data systems are classified as Medium Risk if they are not considered to be High Risk, and the data

is not generally available to the public, which includes data whose loss could have an impact on the College's mission, safety, finances or reputation.

## High Risk

Data and systems are classified as High Risk if protection of the data is required by law/regulation or if Carleton is required to self report to the government and/or provide notice to the individual if the data is inappropriately accessed.

## Data Risk Classification Examples

Use the examples below to determine which risk classification is appropriate for a particular type of data. When mixed data falls into multiple risk categories, use the highest risk classification across all.

### Low Risk

- Research data (at data owner's discretion)
- Carleton Network ID's
- Information authorized to be available on or through Carleton's website without Carleton Network ID authentication
- Policy and procedure manuals
- Job postings
- College contact information in the Carleton Directory
- Information in the public domain
- Publicly available campus maps

### Medium Risk

- Unpublished research data (at data owner's discretion)
- Student records and admission applications
- Grades and other student work product
- Faculty/staff employment applications, personnel files, benefits, salary, birth date, personal contact information
- Non-public Carleton policies and policy manuals
- Non-public contracts
- Carleton internal memos and email, nonpublic reports, budgets, plans, financial information
- College and employee ID numbers
- Project/task/award (PTA) numbers
- Engineering design and operational information regarding Carleton infrastructure
- Licensed software & software license keys
- Donor contact information and nonpublic gift information

### High Risk



- Health information, including Protected Health Information (PHI)
- Health Insurance policy ID numbers • Social Security Numbers
- Credit card numbers
- Financial account numbers
- Information covered by U.S. export laws
- Driver's license numbers
- Passport and Visa numbers
- Passwords and Security keys

## Application Risk Classification Examples

An application is defined as software running on a server that is network accessible and that stores, processes or transmits College data. When mixed data falls into multiple risk categories, use the highest risk classification across all.

### Low Risk

- Applications handling Low Risk Data
- Online maps
- College online catalog displaying academic course descriptions
- Bus schedules

### Medium Risk

- Applications handling Medium Risk Data
- Human Resources application that stores salary information
- Directory containing phone numbers, email addresses, and titles
- College application that distributes information in the event of a campus emergency
- Online application for student admission
- Application collecting personal information of donor, alumnus, or other individual

### High Risk

- Applications handling High Risk Data
- Human Resources application that stores employee SSNs
- Application that stores campus network node information
- Application that processes credit card payments
- Passwords

## Server Risk Classification Examples

A server is defined as a host that provides a network accessible service. When mixed data falls into multiple risk categories, use the highest risk classification across all.

### Low Risk

- Servers used for research computing purposes that do not involve Medium or High risk data
- Servers with potentially lower response time for parts replacement
- For example: File server used to store published public data, database server containing Network ID's only

### **Medium Risk**

- Servers handling Medium Risk Data
- Servers with industry standard practices for patching and monitoring
- For example: for systems that store student records, salary and other financial information and nonpublic College contracts

### **High Risk**

- Servers handling High Risk Data
- Servers with the highest level of restricted access, fail-over and monitoring
- For example: for hosting College email systems, Active Directory and Domain Name Server (DNS)

## **End-Point Risk Classification Examples**

An end-point computer is a device that community members use to access College data. When mixed data falls into multiple risk categories, use the highest risk classification across all.

### **Low Risk**

- End-point computers in public / shared locations
- Unprotected mobile devices
- College-owned and personally-owned computers

### **Medium Risk**

- Encrypted or unencrypted desktop or laptop computers
- Mobile devices with pin code (and two-factor)
- College-owned computers and fully patched and protected personal computers.

### **High Risk**

- Encrypted desktop or laptop computers
- End-point computers with login password and auto-screen lock
- College-owned computers (i.e. high risk data should not be synced to personal computers).

### **Existing Services**

This chart is intended to be a general guide to direct users to appropriate data storage solutions. The list does not include all campus applications nor does it provide all information needed to store data in these applications securely. A procedural document is available from Information Technology

Service (ITS)2 .

If your service is not listed consider it available for LOW RISK data only.

In addition to the services detailed below, Carleton College contracts for storage of medium to high risk data in specialized third party products such as Colleague, Slate and Advance.

	LOW RISK	MEDIUM RISK	HIGH RISK
Communication: Email and Voicemail	✓	✓	*
Carleton Dropbox and Google Drive: Narrowly Shared	✓	✓	*
Carleton Dropbox and Google Drive: Links	✓	*	
Non-Carleton Dropbox, Google Drive, iCloud, etc.	*		
Document Management: OnBase	✓	✓	*
Document Management: Protected Drive	*	✓	✓
Content Management: Reason	✓	✓	
Content Management: Word Press	✓	✓	
Content Management: Confluence/Carlpedia	✓	✓	
Content Management: Content Data Mart	✓		
Document Management: Home Drive	✓		
Document Management: Hard Drive on your computer	✓		
Document Management: thumb drive (portable storage device)	✓		
Organization: Google Sites	✓		
Survey Management: Qualtrics	✓	3	
US Postal Service and other mail services	✓	✓	✓
File Cabinets (unlocked)	✓		
File Cabinets (locked)	✓	✓	✓

## Definitions

### Computing Equipment

Any Carleton or non-Carleton desktop or portable device or system

### Masked number

(i) A credit card primary account number (PAN) has no more than the first six and the last four digits intact, and

(ii) all other Prohibited or Restricted numbers have only the last four intact.

### NIST-Approved Encryption

The National Institute of Standards and Technology (NIST), develops and promotes cryptographic standards that enable U.S. Government agencies and others to select cryptographic security functionality for protecting their data. Encryption which meets NIST-approved standards is suitable for use to protect Carleton's data if the encryption keys are properly managed. In particular, secret cryptographic keys must not be stored or transmitted along with the data they protect. Cryptographic keys have the same data classification as the most sensitive data they protect.

### **Payment Card Industry Data Security Standards**

The practices used by the credit card industry to protect cardholder data. The Payment Card Industry Data Security Standards (PCI DSS) comprise an effective and appropriate security program for systems that process store, or have access to Carleton's Prohibited or Restricted data. The most recent version of the PCI DSS is available here [https://www.pcisecuritystandards.org/pci\\_security/](https://www.pcisecuritystandards.org/pci_security/)

### **Protected Health Information (PHI)**

All individually identifiable information that relates to the health or health care of an individual and is protected under federal or state law. For questions about whether information is considered to be PHI, contact the College's HIPAA Officer.

### **Qualified Machine**

A computing device located in a secure Carleton facility and with access control protections that meet current Payment Card Industry Data Security Standards.

### **Student Records**

Information required to be maintained as non-public by the Family Educational Rights and Privacy Act (FERPA) Student Records include Carleton-held student transcripts (official and unofficial), and Carleton-held records related to (i) academic advising (ii) health/disability, (iii) academic probation and/or suspension, (iv) conduct (including disciplinary actions), and (v) directory information maintained by the Office of the Registrar and requested to be kept confidential by the student. Application for student admission are not considered to be Student Records unless and until the student attends Carleton.

## **Who do I contact for questions?**

<b>Data</b>	<b>Responsible Office</b>	<b>Help</b>
FERPA Compliance Student Records	Registrar	Submit help request <a href="https://apps.carleton.edu/campus/registrar/">https://apps.carleton.edu/campus/registrar/</a>
Employee Records, including PHI	Human Resources	<a href="https://apps.carleton.edu/campus/human_resources/">https://apps.carleton.edu/campus/human_resources/</a>

PCI DSS Data (credit cards)	Business Responsible Office	<a href="https://apps.carleton.edu/campus/business/">https://apps.carleton.edu/campus/business/</a>
PHI (health info)	Student Health & Counseling	<a href="https://apps.carleton.edu/studenthealth/">https://apps.carleton.edu/studenthealth/</a>
Title IX Records	Title IX Coordinator	<a href="https://apps.carleton.edu/dos/sexual_misconduct/title_ix/">https://apps.carleton.edu/dos/sexual_misconduct/title_ix/</a>
Research Subject Data	Institutional Review Board	<a href="https://apps.carleton.edu/governance/institutional_review_board/Info/">https://apps.carleton.edu/governance/institutional_review_board/Info/</a>
Other	CTO or Information Security Officer	<a href="https://apps.carleton.edu/campus/its/">https://apps.carleton.edu/campus/its/</a>

### **Suspected Information Security Incident**

Information Technology Services: X 5999 or [helpdesk@carleton.edu](mailto:helpdesk@carleton.edu)

### **Report Lost or Stolen Device**

Information Security Officer: X 5999 or [helpdesk@carleton.edu](mailto:helpdesk@carleton.edu)

Campus Security https: X 4444

*TP&PC*

Last revised August 1, 2016

For [Faculty](#), [Staff](#), [Students](#)

**Last Reviewed: Aug 1st, 2020**

Maintained by Information Technology Services

## **E-mail as Official Communication for Students**

Electronic mail (e-mail), like postal mail, is a mechanism for official College communication with students. The College will exercise the right to send e-mail communications to all students, and will expect that students will read them in a timely manner.

### **SCOPE**

This policy applies to all matriculated students of Carleton. Official communications using e-mail can

include e-mail to a group, such as all students enrolled in a course, or an e-mail message to only one student.

## **E-MAIL ADDRESSES**

All students are assigned an official Carleton College e-mail address and official College communications will be sent to this e-mail address. The official Carleton e-mail address for each student is listed in the official College directory.

The College provides several mechanisms so that a student may access his/her official Carleton e-mail account on and off campus. A student may also choose to forward his/her e-mail from his or her official Carleton e-mail address to another e-mail address of his/her choice. A student who chooses to forward e-mail to another e-mail address does so at his or her own risk. Carleton is not responsible for e-mail forwarded to any other e-mail address. Official communications demand attention, and often a timely response. For example, communications may refer to matters that are essential for safety or academics. Students are responsible for the failure to receive, or act upon, official communications.

## **EXPECTATIONS REGARDING FREQUENCY OF READING E-MAIL**

Students are expected to check e-mail frequently and regularly in order to stay current with College-related communications, recognizing that certain communications may be time-critical. It is recommended that e-mail be checked daily.

Students on off-campus study programs approved by the College are expected to check their e-mail as regularly as time and facilities permit. In cases where the student is away from internet access for more than a week at a time, the student should set their "away message" using procedures described on the ITS website. If an urgent situation arises while the student has an away message set, every attempt will be made to contact the student through other means.

## **PRIVACY AND CONFIDENTIALITY**

Official College communications sent by e-mail are subject to the same public information, privacy and records retention requirements and policies as other official College communications.

## **INSTRUCTIONAL USES OF E-MAIL**

Faculty members retain autonomy in determining how e-mail or other forms of electronic communication will be used in their classes. Faculty may expect that students are checking e-mail regularly, and faculty may use e-mail for their courses accordingly. Faculty should inform students in the course syllabus of any special or unusual expectations for electronic communication. Under normal circumstances, students can expect faculty to be reachable through e-mail. If a faculty member prefers not to communicate with students through e-mail, he/she should inform the students of this in the course syllabus and provide information about his/her preferred form of communication.

If students and faculty are using e-mail to communicate with each other, they should use the provided Carleton address. The exchange of personal addresses requires unnecessary maintenance that can be avoided by a one-time set up of e-mail forwarding.

## **IMPLEMENTATION AND ASSISTANCE**

The Chief Technology Officer (CTO) is responsible for the implementation of this policy. For assistance with e-mail, contact the ITS Helpdesk in the first floor lab wing of the CMC (x5999). For questions about faculty use of e-mail, contact the Dean of the College Office. For questions about the policy or issues related to a student's failure to comply with this policy, contact the Dean of Students Office.

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*Adopted 4/07*

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Last revised August 6, 2014

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For [Faculty](#), [Students](#)

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**Last Reviewed: Apr 11th, 2019**

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Maintained by Information Technology Services

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## Identity Theft Prevention Program

### I. BACKGROUND

#### A. Effective Date

Carleton College approved the original Identity Theft Prevention Program (“Program”) in February 2009. The Program is reviewed and updated on an annual basis.

#### B. Purpose and Policy

Carleton College developed this Program to comply with the requirements of the Federal Trade Commission’s (FTC) Red Flags Rule of the Fair and Accurate Credit Transactions Act (FACTA) of 2003.

“Identity theft” occurs when a person commits or attempts to commit fraud using identifying information of another person without authority. It is the policy of the College to develop, implement, and maintain a comprehensive program to detect, prevent and mitigate identity theft for our students and their families.

A “Red Flag” is a pattern, practice or specific activity that indicates the possible existence of identity theft.

No part of this Program or related policies and procedures should be interpreted as conflicting with or superseding any other applicable legal and regulatory requirements. This Program and its related policies and procedures reflect a good faith effort to comply with applicable law and reduce the potential for identity theft.

#### C. Responsibilities and Management

Management of the College has the authority and responsibility to approve and implement this Program. The Program Coordinator has the authority and responsibility to:

- Oversee and manage the development, implementation and administration of the Program;
- Assign specific responsibilities for implementation of the Program;
- Review reports prepared by staff regarding compliance with the Red Flags Rule and this

Program;

- Approve material changes to the Program as necessary to address changing identity theft risks; and
- Exercise management control as necessary to ensure that all relevant operations and employees make compliance with this Program and integral part of regular operations.

## **II. PROGRAM DEVELOPMENT AND ASSESSMENT**

The FTC's Identity Theft Rules require that the College identify relevant Red Flags and methods of detecting relevant Red Flags, as well as periodically update the risk assessment and adjust the Program accordingly.

### **A. Covered Accounts**

The College is subject to the requirement of the identity theft rule because it is a "creditor" under the definition in the Rule.

The College has identified three types of accounts under which the college would be considered a "creditor" in regard to the following activities where "covered accounts" exist:

- (i) participation in the Federal Perkins Loan program,
- (ii) participation as a school lender in the Federal Direct Stafford Loan program
- (iii) Carleton Student Accounts with charges for any goods or services for which students are invoiced or otherwise allowed to pay after the goods or services are provided (i.e. telephone service, print center services and health care services)

### **B. Risk Assessment**

The College has evaluated these covered accounts and assessed the likely risk of identity theft as low. The low risk is due in part to the following factors: (a) no historical experience with identity theft, (b) access to disbursements from covered accounts requires photo identification, a student authorized bank account or address on record and (c) the size of our institution allows us to be intentional about each relationship we establish and maintain with our students to ensure we are familiar with their identity before we establish a creditor relationship with them. The student application process requires all of the following:

- Common application with personally identifying information
- High school transcript
- Official ACT or SAT scores
- Two letters of recommendation
- Entrance Medical Records
- Medical history
- Immunization history
- Proof of Insurance

## **III. RED FLAG DETECTION AND RESPONSE**

The College will periodically identify relevant Red Flags for the types of covered accounts it offers



or maintains by considering appropriate risk factors, categories of Red Flags and other sources of Red Flags.

In identifying the relevant Red Flags, the College considers the following categories of Red Flags:

- Alerts, notifications, or other warnings received from consumer reporting agencies or service providers, such as fraud detection services;
- The presentation of suspicious documents;
- The presentation of suspicious personal identifying information, such as a suspicious address change;
- The unusual use of , or other suspicious activity related to, a covered account; and
- Notice from customers, victims of identity theft, law enforcement authorities, or other persons regarding possible identity theft in connection with covered accounts held by the financial institution or creditor.

### **Relevant Red Flags**

The College has identified the following relevant Red Flags that may be raised in connection with opening or servicing a covered account:

1. The student does not have a photo ID.
2. The student photo ID appears to have been altered.
3. The photo ID is inconsistent with the appearance of the student.
4. Documents presented by a student or beneficiary appear to be altered or forged, or appear to have been destroyed and re-assembled.
5. The student or beneficiary refuses to provide all of the required personal information.
6. A refund request from a non-College sponsored E-mail account
7. A request to mail something to an address not otherwise on record
8. Notification from a student or beneficiary, victim of identity theft, law enforcement agency, or someone else that an account has been opened or used fraudulently.

### **Procedure when Red Flags are Present**

If one or more of these risk factors is present, the person servicing the account should notify a supervisor and the supervisor should:

- Deny access to the covered account until additional information is available to eliminate the Red Flag and verify his or her identity
- Independently attempt to contact the student
- Change any passwords, security codes or other security devices that permit access to a covered account if it is determined that an account may have been compromised
- Notify law enforcement if identify theft is confirmed; or
- Determine no response is warranted under the particular circumstances

In any case where the transaction is delayed, the following script may be used to communicate with the student or beneficiary:

***Our identity theft protection procedures are designed to prevent identity theft and fraud, before we can complete your transaction additional information to verify your identity is required. These precautions will require additional time to process your transaction.***

#### **IV. TRAINING, SERVICE PROVIDER OVERSIGHT AND PROGRAM UPDATING**

##### **A. Training**

It is the responsibility of the Program Coordinator to ensure that all relevant College personnel receive training, as necessary, to effectively implement the Program. The training will include the following:

- Distribution of a copy of this Program to all employees having duties that may involve covered accounts;
- Training of all new employees having duties that may involve covered accounts; and
- Training on a periodic basis as determined by the Program Coordinator to be necessary to reflect changes to the Program

Such training program shall include the pertinent requirements of the Red Flags Rule, the policies and procedures set forth in this Program, as updated from time to time and the importance placed by the College on compliance with the Program and the prevention and mitigation of identity theft.

Training has been embedded into the online FERPA web tutorial incorporated into new staff orientation and training provided by the Human Resources Office.

##### **B. Overseeing Service Providers**

It is the responsibility of the Program Coordinator to exercise appropriate and effective oversight of service provider arrangements. A service provider means a person who provides a service directly to the College in connection with covered accounts. The Program Coordinator shall take reasonable steps to select and retain service providers that are capable of maintaining safeguards to protect the information handled or accessed.

The College has identified service providers who provide services for covered accounts:

- (i.) Cashnet, a payment plan administrator for student accounts
- (ii.) ECSI, a loan service provider for Perkins, Henry Strong and Carleton College Loan accounts
- (iii.) Flywire, international online payment vendor for student accounts
- (iv.) Wellfleet, student health insurance administrator for Carleton College
- (v.) Williams & Fudge, collection agency for defaulted accounts and student loans with Carleton College
- (vi.) General Revenue Corp., collection agency for defaulted accounts and student loans with Carleton College

Personally identifying information transmitted to or from service providers is done through a secure web portal and/or with data encryption technology.

##### **C. Reports**

The Program Coordinator and other staff responsible for the development, implementation, and administration of the Program shall report to the Vice President and Treasurer, at least annually, on compliance with the Red Flags Rule and this Program. The report shall address material matters related to the Program and evaluate all material issues arising in connection with the Program since its inception or the most recent prior report. In any event, the following issues shall be addressed in each report:

- The effectiveness of the policies and procedures in addressing the risk of identity theft in connection with the opening of covered accounts and, if and when applicable, with respect to existing covered accounts;
- Service provider arrangements;
- Significant incidents involving identity theft and management’s response; and
- Recommendations for material changes to the Program.

#### **D. Periodic Updates**

It is the responsibility of the Program Coordinator to ensure that the Program is updated periodically based on changes in the regulatory guidance, the College’s experience with identity theft, or new methods of identity theft having been uncovered.

#### **V. APPOINTMENTS**

##### **Identification of Responsible Employees**

The following position has been appointed to the position indicated below, subject to modification from time to time:

Program Coordinator: College Comptroller

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Last revised February 22, 2021

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For [Faculty](#), [Staff](#), [Students](#)

**Last Reviewed: Feb 22nd, 2021**

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Maintained by Business Office

## **iPad Purchase Policy**

### **Purpose of Policy**

This policy establishes standards, guidelines, and procedures for the purchase of Apple iPads in pursuit of college priorities and stewardship of resources.

iPad purchase policy table, at a glance:

	<b>ITS Funded</b>	<b>External Grant Funded</b>	<b>Department Funded</b>	<b>PDA Funded</b>
<b>iPad funded by:</b>	ITS	Grant	Department	PDA

<b>Authorizing agent ‡</b>	<b>ITS Funded</b> Dept. head & ITS	<b>External Grant Funded</b> Dean of the College and ITS	<b>Department Funded</b> Dept. head & Dean/V.P.	<b>PDA Funded</b> Dean of the College
<b>Replacement cycle:</b>	2-4 years	None	None	None
<b>iPad ownership:</b>	College	College	College/Dept.	College

‡ Authority needed for purchase.

## iPad purchase policy details

### 1. ITS Funded, College Owned

This is a college-owned device intended for college business. Funding for the device comes from the ITS budget. Purchasing, receiving and inventorying the device are handled by ITS.

Employees who would like to request an iPad, in place of a primary computer, need the approval of their department head. The request should be made through the annual ITS technology request process.

ITS will provide support for college business, including connections to email/calendar and VPN/Citrix access.

In the event of damage or loss, replacement or repair will be funded by ITS.

iPads purchased by the ITS budget can be on a college replacement cycle.

If the employee leaves the college, the device returns to ITS.

### 2. Grant Funded, College Owned

This is a college-owned device intended for college business. Funding for the device comes from the grant. Purchasing, receiving and inventorying the device are handled by ITS. ITS will provide support for college business, including connections to email/calendar and VPN/Citrix access. In the event of damage or loss, replacement or repair costs are the responsibility of the grant. iPads purchased with grant funds are not on a college replacement cycle. If the employee/PI leaves the college, the device remains with the college (ITS).

Internal Grant Use: ITS is allocating funds to be awarded through a grant approval process administered by the Academic Computing Technology Committee. iPads purchased through these internal grants are considered college-owned and will be purchased, tagged, inventoried and supported by ITS. iPads purchased via this method are not on a college replacement cycle. In the event of damage or loss, ITS will not fund a replacement.

### 3. Departmentally Funded, College Owned

This is a college-owned device intended for college business. Funding for the item comes from the departmental budget. Purchasing, receiving and inventorying the device are handled by ITS. There are two classes of departmentally-purchased iPads:

- Employees who would like an iPad, in addition to a primary computer, need the approval of their department head AND designated Dean/VP, and a completed iPad approval form.
- Academic departments choosing to purchase a group of iPads for instructional purposes need the approval of the department head AND the Dean of the College office, and a completed iPad approval form. ITS will provide support for college business, including connections to email/calendar and VPN/Citrix access. In the event of damage or loss, replacement or repair costs are the responsibility of the department. Department-funded iPads are not on a college replacement cycle. If the employee (in 3.a above) leaves the college, the device remains with the department.

#### **4. PDA Funded, College Owned**

This is a college-owned device intended for college business. Funding for the device comes from the PDA. Purchasing, receiving and inventorying the device are handled by ITS.

ITS will provide support for college business, including connections to email/calendar and VPN/Citrix access.

In the event of damage or loss, replacement or repair costs are the responsibility of the PDA. iPads purchased with PDA funds are not on a college replacement cycle.

If the faculty member leaves the college, the device remains with the college (ITS).

#### **Notes**

- Base iPad model is college standard:
  - Includes Wi-Fi
  - Does not include cellular capability
- All iPads purchased by ITS will include AppleCare Plus when purchased.
- All iPads need security solutions for accessing college data, including email and calendars.

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*Issuing Authority: Technology Planning and Priorities Committee Contact: Director of Information Technology Services*

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Last revised May 1, 2012

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For [Faculty](#), [Staff](#)

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**Last Reviewed: Dec 3rd, 2018**

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Maintained by Information Technology Services

## **New Technology Request Program**

# Program

The new Technology request Program (NTRP) is a twice-yearly process whereby academic and administrative departments request approval for additional hardware and software that is outside of the regular equipment replacement cycle. Requests for NTRP technologies are run in conjunction with facilities fall requests and the ITS winter replacement process. NTRP is primarily intended to support pilot projects of innovative ideas and early use of emerging technologies.

## Requests

Requests can include hardware, software, projection equipment etc. These requests are funded on a one-time basis. Requests for new technologies are expected to demonstrate a need in support of a college or departmental goal, strategic initiative or experimentation in advance of request for ongoing college funding

## Process

The NTRP is managed by a five member committee (NTRC) comprising of:

- CTO
- Associate Dean of the College
- LIBIT Committee member or other faculty representatives
- ESAG Committee member or other staff representatives
- Budget Director
- ITS Staff Members, as needed

Membership will be identified by Technology Planning & Priorities Committee (TPPC). The NTRC will review and prioritize all requests, and make a recommendation to TPPC for approval. NTRC will typically meet in March or April to review the requests and develop an allocation recommendation. The TPPC will typically approve requests in May and departments will be notified of the status of their requests in May/June. Delivery of requested technology will start in June.

The NTRC and the TPPC will use the following criteria in evaluating requests (a request need not meet all criteria).

- Supports a college or departmental goal or strategic initiative
- Provides multiple benefits to others
- Provides notable improvement to productivity
- Enhances teaching
- Enhances services to our community
- Aligns with existing IT purchasing policies
- Is supportable and sustainable

## Notes:

1. Replacement or renewal of existing software contracts and technology are addressed in the regular ITS replacement process
2. Technology purchases involving an annual expense, are considered through the college

annual budget process

## Other

College technology already in the replacement cycle will be handled in parallel with the winter term NTRP requests. Delivery of both new approved requests, as well as replacement equipment, happens throughout the year. Academic deliveries take precedence during the summer, and all other deliveries take place throughout the academic year.

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Last revised January 30, 2019

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For [Faculty](#), [Staff](#)

**Last Reviewed: Jan 30th, 2019**

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Maintained by Information Technology Services

## Privacy Statement

Effective Date: April 1, 2019

Carleton College is committed to protecting the privacy of individuals who share personal data with us.

We value and respect your privacy. We strive to ensure that information entrusted to the College will be handled with care and respect. This Privacy Policy is designed to assist you in understanding how we collect, use, share, and dispose of personal information you provide to us and information that is gathered during your interactions with the College. Information we collect is necessary for us to conduct our legitimate business operations and administer our educational offerings. We collect, use, store, and dispose of the information we collect in accordance with relevant laws and regulations including, but not limited to the Family Educational Rights and Privacy Act, the Gramm-Leach-Bliley Act, and the European Union's General Data Protection Regulation (GDPR). By using our sites and services, you are consenting to our collection and use of information in accordance with this Privacy Policy.

### What information do we collect?

The College collects information you provide when you apply for admission, register for campus visits and events, apply for employment, make charitable contributions, or otherwise interact with the College's sites and services. Some of the information submitted by you or collected during your relationship with the College may be personally identifiable information.

Types of personal information include, but are not limited to:

- full legal name
- social security number
- date of birth
- address
- email address and phone numbers
- your parent's or guardian's full name(s) and contact information

- gender and sex
- ethnicity, race, and national origin
- academic information
- enrollment information
- employment information
- donation information
- involvement in work, school, and community activities
- personal essays
- browsing and navigation behavior on our sites and networks

### **How do we use information we collect?**

Ways we use the information we collect include, but are not limited to:

- to consider your candidacy for admission to or employment with the College
- to evaluate your eligibility for financial aid
- to facilitate your education, if you are admitted and enroll to the College
- to provide opportunities to engage with the College, alumni, donors, prospective donors, and students through interactions, events, and financial transactions
- to provide educational courses and programs
- for our marketing and promotional efforts
- to prevent, investigate, take action against fraud, spam, harassment, intellectual property infringement, crime, violations of College policies, and security risks
- to meet legal obligations
- to provide, improve, and customize our educational offerings
- to administer College operations
- to offer attendance to events and opportunities to volunteer
- to conduct admissions and development research
- to understand how our sites and services are being used
- to support the safety and security of our students, faculty, fellows, employees and others

### **How do we dispose of the information we collect?**

We will retain your personal data for only as long as is necessary for the purposes listed in this Policy unless a longer period is required under applicable law, or is needed to resolve disputes or protect our legal rights or comply with legal obligations.

When assessing the data retention period, we take into account the amount, nature, and sensitivity of the information, the potential risk of harm from unauthorized use or disclosure of the data, the purposes for which we process the data and whether we can achieve those purposes through other means, and the applicable legal requirements.



## Privacy Oversight

To satisfy our privacy obligations, the Information Security Advisory Council will:

- design, develop, and execute plans for monitoring and ensuring the privacy of data across all functions of the College
- act as the primary point of contact for questions regarding protected information
- conduct periodic audits to ensure that privacy procedures are followed
- report on risk related to protected information to the audit committee
- monitor and advise on privacy education efforts
- participate as appropriate in privacy complaints and investigations

This policy will be reviewed annually. If you have any questions regarding this Privacy Policy, please contact us at [privacy@carleton.edu](mailto:privacy@carleton.edu).

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Last revised May 30, 2018

For [Faculty](#), [Staff](#), [Students](#)

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**Last Reviewed: Apr 11th, 2019**

Maintained by Information Technology Services

## Records Retention

### Introduction

The College Archives is the official depository for non-current college records having lasting administrative or historical value. All documents, correspondence, accounts, files, manuscripts, publications, photographs, recordings, drawings, or other material regardless of physical or digital format and characteristics, which are created or maintained by college officers, staff, or faculty members in the performance of assigned administrative duties are considered “college records” and are the property of the College. Pursuant to a 1974 action of the Board of Trustees, **no such records are to be discarded, destroyed, or otherwise disposed of except after consultation between the College Archivist and the administrative officers, department heads, or committee chairs responsible for the custody of these records during their active life.** Approval either to transfer inactive college records to Archives or to destroy them after an agreed-upon period may take the form of written records disposition schedules or other agreements between the Archivist and the custodian of the records. A number of general “blanket” authorizations for disposal of certain classes of routine records have already been issued – please contact the Archives if you have any questions. One copy of every publication issued by the College or any college agency should always be forwarded to the Archives. Restrictions on access to records transferred to Archives may be negotiated by the agency or office of transmittal. Reference service provided by the Archives to the College may include searching records to provide specific pieces of information, making copies of particular documents, or making records available for consultation in the Archives. Offices and departments which transfer records to Archives may request the return of records to the transmitting office, if transfer to Archives is found to have been premature. In addition to official college records as defined above, the Archives may also accept donations of professional and personal papers belonging to individual members of the College community, records of student

organizations, or other material documenting aspects of the life or business of Carleton College that may be given to the Archives for preservation and use.

The need for this Record Retention Policy arose in light of new Federal Rules of Civil Procedure relating directly to document and data retention, including electronic documents and e-data. The new Rules establish procedures for discovery by litigation opponents of electronic information. The Rules also provide protections against sanctions being imposed on a litigant in the event that information which could be relevant to the case has been destroyed pursuant to a document or information retention policy. Although the Rules technically apply only in cases in federal court, the principles are likely to be applied by any court.

There are two basic concepts raised by the new Rules – general and specific. The specific is that if Carleton has notice that a claim which could end up in court has been or is reasonably likely to be asserted against it, then Carleton must place a “litigation hold” on the destruction of documents (electronic or hard copy) which are relevant to the case or may lead to the discovery of relevant evidence. Simply put, if Carleton has notice that it might get sued, it must take affirmative steps to preserve information, including sending notice to everyone at Carleton who might have information and instructing them not to destroy any documents or data, and putting a hold on, or stop to, any automatic destruction processes.

The general concept is that it is in Carleton’s interest to implement retention procedures that result in the destruction of documents and data which do not need to be retained either for legal or institutional reasons. There are a number of reasons why retention procedures make sense, four of which are:

1. the Rules state that “absent exceptional circumstances, a court may not impose sanctions under these rules on a party for failing to provide electronically stored information lost as a result of routine, good-faith operation of an electronic information system”;
2. the cost to the College of producing discoverable information will be lower if there is less information to produce;
3. variations in destruction practices by individuals in the absence of a retention policy could cause a court to infer that information was destroyed when it should not have been; and
4. relief from a significant burden on the College in the storing of data and documents for a period longer than required by law or in the College’s interest.

### **Data & Record Retention Team**

Janet Scannell, Chief Technology Officer ([jscannell@carleton.edu](mailto:jscannell@carleton.edu), X4077)

Shannon Schulz, Director of Development Operations ([sschulz@carleton.edu](mailto:sschulz@carleton.edu), X5979)

Emy Farley, Registrar ([efarley@carleton.edu](mailto:efarley@carleton.edu), X4290)

Rod Oto, Associate Dean of Admissions and Director of Student Financial Services ([roto@carleton.edu](mailto:roto@carleton.edu), X4138)

Linda Thornton, Comptroller ([lthornto@carleton.edu](mailto:lthornto@carleton.edu), X4171)

Kerstin Cardenas, Director of Human Resources ([kcardena@carleton.edu](mailto:kcardena@carleton.edu), X4068)

Tom Lamb, College Archivist ([tlamb@carleton.edu](mailto:tlamb@carleton.edu), X7015)

## **RECORDS RETENTION POLICY**

### **A. Purpose**

Proper retention of records is essential to conducting the business of the College; to protecting the legal interests of the College, students, and employees; to preserving the College's history; and to complying with applicable state and federal laws and regulations. In addition, the College is obligated to preserve records when litigation is threatened or pending. For the purposes of efficiency and management of physical and digital storage resources, it is also important that unneeded records be disposed of in a timely manner.

This policy applies to all departments, divisions, offices, and employees of the College. Personnel are required to be familiar with and to adhere to this policy, as it pertains to the types of records/documents in the Document and Data Retention Schedule below.

## **B. Records Defined**

For the purposes of this policy, "records" include documentary material, regardless of media, produced in the course of College business. The most common types of records generated and their retention periods are addressed in the Document and Data Retention Schedule. Any questions concerning records not specified in the schedule should be directed to the Data and Record Retention Team before a record is destroyed. "Records" also include copies of original materials that are themselves different from the original (e.g., a copy of a document with marginal handwritten notes).

"Records" do not include extra copies of materials of which an official copy has been retained, nor do they include personal or transitory correspondence/materials (see Section D below). "Records" also do not include "transitory documents" (including e-mails) that are not included in any of the categories in the records retention schedule. "Transitory documents" can be destroyed when no longer needed. "Transitory documents" include items such as letters of transmittal or acknowledgements; requests for routine information; notices of staff/department meetings or events; communications to students concerning class schedules or assignments; records that are kept in the sole possession of the maker, are used only as a personal memory aid, and are not accessible or revealed to any other person except a temporary substitute for the maker of the record; personal correspondence or other documents not related to the business of the College; and the like.

## **C. Data and Record Retention Team**

The Data and Record Retention Team is responsible for implementing the College's records retention policy and procedures. The Data and Record Retention Team is authorized to perform the following functions:

1. Identify records generated by and received by the College that should be retained.
2. Publish a record retention procedure schedule that complies with any applicable state and federal laws and regulations.
3. Monitor state and federal laws and regulations affecting record retention.
4. Answer questions from college personnel concerning record retention.
5. Periodically review the record retention procedure and schedule and update as necessary.
6. Develop a training and awareness program on record retention for the College personnel.
7. Develop guidelines for appropriate destruction of College records.
8. Develop guidelines to maintain confidentiality of records as necessary.

9. Monitor departments for compliance with the record retention policy and procedure.
10. Authorize deviation from the retention procedures or schedule, usually for a research or other academic purpose, on a case-by-case basis.

#### **D. General Record Retention Rules**

The following are general rules pertaining to record retention. There may be additional rules and procedures governing particular types of records.

1. College personnel are required to check the record retention schedule before disposing of materials generated in the course of College business.
2. If a particular type of document does not appear to be covered by the schedule, consult with the Data and Record Retention Team.
3. Only one copy of a document should be retained, by the party or department responsible for it (see Document Custodian). Where possible, the retained document should be the original. Permanent records may be transfer to College Archives by the Document Custodian on a scheduled basis.
4. Drafts and notes concerning a document should be destroyed unless they are important to documenting official business or action of the College, in which case they will be stored with the document.
5. Except as noted in the retention schedule, the retention period runs from the date the record was created or received.
6. In the case of pending or reasonably anticipated litigation, the college will impose a “litigation hold,” which will be communicated to all persons whom the college has reason to believe may be in possession of documents that are either relevant or may lead to the discovery of admissible evidence pertaining to the case. The imposition of a “litigation hold” means that all retention periods are suspended for applicable documents and no such documents shall be destroyed or altered until notification that the litigation matter has been concluded.
7. E-mails are computerized documents that should be treated like any other record and are subject to the same retention schedule.
8. Documents stored in OnBase should be treated like any other record and are subject to the same document retention schedule.
9. Any questions as to whether a particular type of document is “transitory” and can be destroyed should be directed to the Data and Record Retention Team.

#### **E. Records Retention Schedule**

The Document and Data Retention schedule includes records by office and category; the retention period in days, months, and years and the document custodian.

#### **F. Record Destruction**

Documents may be disposed of in a manner convenient to the person undertaking the destruction. Documents with confidential, private, or sensitive information should be shredded.

#### **G. Policy Management**

This policy will be reviewed on an annual basis by the Data & Record Retention Team. The policy

will be posted on the Carleton web site in the Campus Handbook; updates will be communicated on an annual basis.

### Document and Data Retention Periods

Core institutional database records (i.e. Ellucian Colleague; Ellucian Advance) are retained indefinitely; the retention period indicated below applies to paper records and ancillary files. Ancillary files including documents on personal computers and other servers (i.e. Collab; OnBase).

Type of Record	Time Period for Retention	Document Custodian
<b>Academic Department Records Concerning Students</b>	6 Years from Graduation or date of last attendance	Registrar
<b>Accounting</b>		Business Office
Accounts Payable Ledgers and Supporting Documentation	5 Fiscal years	
Accounts Receivable Ledgers and Supporting Documentation	5 Fiscal years	
All Accounting Subsidiary Records	5 years	
Annual Budget	Permanent	
Annual Financial Reports	Permanent	
Bank Reconciliations and Bank Statements	5 Fiscal Years	
Capital Equipment Records (if purchased with federal funds)	3 Years after disposition of equipment	
Capital Equipment Records (unless purchased with federal funds)	Life of Asset	
Cash Receipts/ Deposits	5 Fiscal Years	
Depreciation Records	Life of Asset	
Sales Tax Returns	6 Years	
Other Student Loan Records (Perkins FSA HB Feb 2012)	3 Years after loan is paid in full, cancelled, or assigned elsewhere	
Perkins Loan Files	10 Years after loan is paid in full, cancelled, or assigned elsewhere	
Tax returns and worksheets	Permanent	
Vendor Contracts	3 Years from completion of contract	
W-9 on file for Vendor	3 Years after last use	
<b>Admissions Materials for Students Who Do Not Enroll</b>		
Financial Aid Records (Students who do not Enroll)	3 Years from end of academic year in which student applied	Student Financial Services
All other Admissions Materials	3 Years from end of academic year in which	Admissions

Documents Supporting other Selection Decisions	student applied 3 Academic years from date of decision	Admissions
Federal/State Required Statistics and Reports	Permanent	Admissions
<b>Admissions Materials for Students Who Enroll (see Student Records)</b>	Permanent	Dean of Students
<b>Alumni</b>		
Alumni Directories	Permanent	Alumni Relations Office
Alumni Newsletters/ News E-Mails	Permanent	Alumni Relations Office
Annual Fund Solicitations	Permanent	Alumni Annual Fund
Annual Fund Phonathon Materials	Permanent	Alumni Annual Fund
Alumni Database (Alumni, Parents; Friends)	Permanent	Development
Letters of Intent and Gift Agreements	Permanent	Business Office
Stewardship Reports	Permanent	Development
Prospect Reports	Permanent	Development
<b>Art Museum</b>		Gallery
Deed of Gifts	Permanent	
Exhibition Contracts	Permanent	
Exhibit Publications	Permanent	
Purchases and Sale Documentation	Permanent	
<b>Career Center and Career Placement Records</b>	Permanent	Career Center College Archives
<b>Corporate and Foundation Relations (CFR)</b>		
Grant Proposals	Permanent	CFR
Closed Grant File	Permanent	CFR
IDC Proposal and Supporting Documentation	Permanent	Business Office
<b>Corporate Records</b>		Office of the President Archives
Articles of Incorporation	Permanent	
Bylaws	Permanent	
Amendments	Permanent	
Board of Trustees Minutes	Permanent	
Board of Trustees Board Packets	Permanent	
Records of College – Affiliated Enterprises	7 years after enterprise dissolution or after College ceases affiliation	
<b>Dean of the College</b>		
Academic Search Committee Materials (advertising materials, applicant files, Search Committee records)	3 Full academic years from year search completed	Dean of the College
Course Offerings/Course Catalogue	Permanent	Registrar

Faculty Handbook	Permanent	Dean of College
Faculty Tenure Records	Permanent	Dean of the College Archives with Restricted Access (evaluation pending)
Faculty Contract Renewal Materials, if denied	Permanent	Dean of College
Grievances	Permanent	Dean of College
Minutes of Faculty Meetings and other Governance Meetings	Permanent	Dean of College
<b>Bonds, Tax Exempt</b>		Business Office
Bond Closing Transcripts and Supporting Documentation	Term of Bond, plus 3 years	Business Office
Documents Relating to Capital Expenditures Financed or Refinanced with Bond Proceeds	Term of Bond, plus 3 years	Business Office
Record of Investments, Investment Agreements, Arbitrage Reports and Trustee Statements Related to the Bond Issuance and Expenditures	Term of Bond, plus 3 years	Business Office
<b>Environmental Health and Safety Faculty Records</b>	8 years	Facilities
<b>External Relations</b>		
Commencement Programs	Permanent	External Relations
Press Releases	Permanent	Medial Relations
Sports Information Releases	Permanent	Sports Information
<b>Human Resources</b>		Human Resources
Affirmative Action/Equal Opportunity Officer Investigations, if denied	6 Years from academic year of last employment	
Affirmative Action/Equal Opportunity Officer Investigations, if granted	Permanent	
COBRA Notices and Enrollment Forms	6 Years after termination	
Disability Benefits Records	Life of employee	
Employee Personnel Files	6 Years after termination	
ERISA Documents including Benefit Plan Descriptions & Summary Plan Documents	6 Years	
Faculty CV's and Personal Information Card	Permanent	
FMLA Records	3 Years from end of leave	
Medical Records & Records of Exposure to Toxic Substances	Length of Employment plus 30 years	
Non – Academic Search Committee Materials (advertising materials, applicant files, interview records)	1 Year following search completed	
Retirement Benefits Accrued	Life of employee or beneficiary	
Sick Leave Benefits	Life of employee	

Staff Handbook	Permanent	
Workers' Compensation Files	Life of employee	
I9	3 Years after date of hire or 1 Year after employment ends whichever is LATER	
Direct Deposit Authorization/Student Account Authorization	1 year after	
Authorization	Employment ends	
W4	4 Years after the end of the calendar year	
<b>Insurance</b>		Risk Manager
Certificate of Insurance	7 Years after expiration	
Insurance Policies	7 Years after expiration	
Accident Reports and Claims	7 Years after case is settled	
Litigation Records – Consent Orders, Judgments, Court Orders Disposing of Litigation, Releases and Settlement Agreements	Permanent	
Litigation Records – Documents of Historical Significance (e.g. Trial Transcripts, Deposition Transcripts, and Trial and Litigation Records – Documents of Historical Significance (e.g. Trial Transcripts, Deposition Transcripts, and Trial and Deposition Exhibits in cases of significance to the history of the College)	Permanent	
<b>Investments</b>		Investment Office
Subscription Agreements for Hedge Fund or Private Equity Investments	7 Years after termination	
NACUBO Endowment Study	Permanent	
Quarterly Valuation Reports	Permanent	
<b>Payroll</b>		Business Office
Time Cards	5 Years after the end of the calendar year	
Payroll Registers and Reports	5 Years after the end of the calendar year	
International Students – Copies of Passport, VISA, I94, FNIS Backup	5 Years after the end of the calendar year	
Wage Garnishments	5 Years after the end of the calendar year	
W2	5 Years after the end of the calendar year	
1042S	5 Years after the end of the calendar year	
941	5 years after the end of the calendar year	



<b>Property and Facilities Records</b>		Facilities
As Built Drawings	Permanent	
Building Permits	1 Year after final Completion	
Deeds	Permanent	
Leases	5 Years from expiration of lease	
Construction/Remodeling	Permanent	
Plans and Specifications	Permanent	
Purchase Agreements	Permanent	
Routine Incidental Maintenance	3 Years from completion	
Sale Agreements	Permanent	
Title Insurance Policies	7 Years after sale of property	
<b>Publications</b>		
Carleton's Magazine – The Voice	Permanent	Archives
Other Printed Publications	Permanent	Archives
<b>Security</b>		Security
Accident/Incident Reports	7 Years	
Clery Act Logs	3 Years	
Clery Act Statistics	3 Years	
Clery Act Warning Notices	3 Years	
Property Loss or Damage Reports	7 Years	
<b>Student Records – reference AACRAO's Retention of Records: Guide for Retention and Disposal of Student Records</b>		
Academic Standing Committee Actions (Dismissal, Suspension, etc.)	Until graduation or 2 Years after withdrawal 5 Years after suspension ; 10 Years after expulsion	Dean of Students
Academic Advising Files	1 Year after Carleton graduation or date of last attendance; policy currently varies department	Academic Advisor
Academic Records	Permanent	Dean of Students
Advanced Placement and other Placement Test Records/Scores	5 Years from Carleton graduation or date of last attendance	Registrar
Change of Grade Forms	Permanent	Registrar
Class Lists	Permanent	Registrar
Commencement Program	Permanent	Dean of Student Archives

Curriculum Change Authorizations	1 Year from Carleton graduation or date of last attendance	Dean of Students
Enrollment Verifications and Good Student Discount Insurance Authorizations	1 Year	Registrar
Requests for Non – Disclosure of Directory Information	1 Year from Carleton graduation or date of last attendance	Dean of Students
Dean’s Recommendations/Consent to Release Personally Identifiable Information	Later of 5 years from Carleton graduation or 2 years from date of request	Dean of Students
Financial Aid Records (students who enroll)	5 Years from Carleton graduation or date of last attendance	Student Financial Services Office
International Student Forms	10 Years from Carleton graduation or date of last attendance	International Student Programs
Medical Leave Agreements	1 Year from Carleton graduation or date of last attendance	Dean of Students
Name Change Authorization	Permanent	Registrar
Non-grad Letter	Permanent	Registrar
SAT/UNSAT Requests	4 Years from Carleton graduation	Registrar
Student Education File - except for Admission Application, including Entrance Exam Reports, Advanced Placement Records; High School or other College Transcripts; Directory Information; Campus Job Evaluations; Notices of Awards or Honors; Evidence of Extracurricular Activities and other information provided by the student which is indicative of post-college activities, all of which is transferred to the Alumni Record maintained by Central Records permanently.	6 Years from Carleton graduation or date of last attendance	Dean of Students
Student Handbook	Permanent	Dean of Students
Student Health Records	8 Years from Carleton graduation or date of last attendance	Student Health & Counseling
Teaching Licensure Applications	Permanent	Registrar
Transcript Requests ( Registration Forms, Drop/Add, Pass/Fail or Registration Change Petitions)	Permanent	Registrar
Transcripts from Other Colleges and Consortia	Permanent	Registrar
Transfer Credit Evaluations	6 Years from Carleton graduation or date of last attendance	Registrar
Veterans Administration Certifications	3 Years after Carleton graduation or date of	

	last attendance	
Withdrawal Authorizations/Leave of Absence	Carleton graduation or two years after withdrawal from the College	Dean of Students
<b>Information Technology - General Server Operation and Individuals' Files Managed by ITS (Retention of other information Limited by Specifications listed elsewhere.)</b>		Information Technology Services (ITS)
<b>Server Data Retention – System Logs</b>		ITS
<b>Web server logs (which may include account names)</b>	Log entries are kept for up to 1 year, after which general server backup retentions apply (see below).	
Any log that associates a User ID (account name) or other Personal Identification with an IP address and/or access to any web page or other Network Service on or off campus, except where required to record financial transactions, etc.	Logs are recoverable between 90 days and 365, depending on system. [Check with web server logs for exceptions]	
Network audit logs	30 days.	
<b>Server Data Retention – Network Access Control System</b>		ITS
Registration of Student – Owned computer's MAC addresses	Minimum 90 Days after device last active on the campus network; old entries purged as needed.	
IP/MAC address audit information	Indefinite	
<b>Server Data Retention – E-Mail Server (applies only to e-mail retained on the server)</b>		ITS
E-Mail Inbox	Opened and unopened e-mail is retained on the server until deleted by the user or the account is closed (see "Account Closing", below).	
Sent Items	Until deleted by the user or account is closed.	
Junk Items	30 Days or until deleted by users.	
Trash Items	90 Days or until deleted by user.	

Back-Ups of E-Mail Server Account Closing	14 Days Folders kept online for 1 year after account closing, with the exception of graduating seniors (30 days after graduation). Above backups apply after that time.	
<b>Server Data Retention</b>		ITS
Individual's files in selected directories on the individual's allocated desktop or notebook computer, initially set to back-up all personally created documents.	Periodic (not necessarily regular) review of client systems and removal of inactive or decommissioned systems.	
Individual's home directory on network share.	Data may be transferred to supervisor for saving or disposal. Otherwise, folders kept online for 1 year after termination. Backups below then apply.	
Back-Ups of Other Servers (except as noted above)	Core institutional information systems: 1 year (fulls and incrementals). Colleague and course folders: bi-yearly archives kept 7 years. All other servers: 90 days (fulls and incrementals).	
<b>College – Owned Computers – Migration by individual to a Replacement Computer</b>		ITS
Data files on old computer.	All files in predetermined locations on the hard drive are copied onto new computer (deleted files not restored unless requested by Client).	
Old Computer Hard Drive	Faculty: removed drives kept by ITS for a period of a year or more. Staff: drives kept 1-2 months then securely erased.	

College – Owned Computers - Employee Exit from the College (employment termination)		ITS
Computer and Hard Drive	If computer returned to stock, hard drive is re-imaged prior to re-deployment. If computer is deployed to employee's replacement, the hard drive contents may or may not be erased.	

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Adopted May 14, 2009 (*effective for the fiscal year beginning July 1, 2008*).

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Last revised July 24, 2018

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For [Faculty](#), [Staff](#)

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**Last Reviewed: Mar 1st, 2021**

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Maintained by Business Office

## Related Party Disclosure Statement (Conflict of Interest Policy)

### Purpose

The Board of Trustees, officers, and management employees of Carleton College have responsibility for administering the affairs of the College honestly and prudently, and for exercising their best care, skill and judgment for the sole benefit of Carleton College. This policy is intended to ensure the transparency of related party relationships and affirm that the interest of Carleton College has first priority in all decisions and actions. Persons acting on behalf of the College shall exercise good faith in all transactions involved in their duties, and they shall not use their positions with Carleton College or knowledge gained from their work with Carleton College for their personal benefit.

This policy serves to protect Carleton College's tax-exempt organization status. The IRS as well as state regulatory and tax officials view the operations of Carleton College as a public trust, which is subject to scrutiny by and accountable to governmental authorities as well as to members of the public. Maintenance of its tax-exempt status is important for both its continued financial stability and public support.

### Interested Person

This statement is directed at the Board of Trustees, officers, management employees and other employees who can influence the actions of Carleton College. This includes all employees who make purchasing decisions, all persons who might be described as "management personnel," and anyone who has proprietary information concerning Carleton College.

### Areas Where a Conflict May Exist

Conflicts of interest may arise in the relations of Board of Trustee, officers and management

employees with any of the following third parties:

1. Persons and firms supplying goods and services to the College.
2. Persons and firms from whom the College leases property and equipment.
3. Persons and firms with whom the College is dealing or planning to deal in connection with the gift, purchase or sale of real estate, securities, or other property.
4. Competing or affinity organizations.
5. Donors and others supporting the College.
6. Agencies, organizations and associations which affect the operations of the College.
7. Family members, friends, and other employees.

### **Nature of Conflicting Interest**

A conflicting interest may be defined as an interest, direct or indirect, with any persons or firms mentioned in Section 3 above. Such an interest might arise through:

1. Owning stock or holding debt or other proprietary interest in any third-party dealing with the College.
2. Holding office, serving on the board, participating in management, or being otherwise employed (or formerly employed) with any third party dealing with the College.
3. Receiving remuneration for services with respect to individual transactions involving the College.
4. Using the College's time, personnel, equipment, supplies, or goodwill for other than College approved activities, programs, and purposes.
5. Receiving personal gifts or loans from third parties dealing or competing with the College. Receipt of any gift is disapproved except gifts of a value less than \$50, which could not be refused without discourtesy. No personal gift of money should ever be accepted.

### **Interpretation of this Statement of Policy**

The areas of conflicting interest listed in Section 3, and the relations in those areas which may give rise to a conflict, as listed in Section 4, are not exhaustive. Conflicts might arise in other areas or through other relations. It is assumed that the Board of Trustees, officers, and management employees will recognize such areas and relation by analogy.

The fact that one of the interests described in Section 3 exists does not necessarily mean that a conflict exists; or that the conflict, if it exists, is material enough to be of practical importance; or if material, that upon full disclosure of all relevant facts and circumstances it is necessarily adverse to the interests of the College.

An interested person has a duty to disclose the existence of a conflict of interest described in Section 4 or other potential conflict of interest along with all material facts to the Audit Committee of the Board of Trustees at least annually and before any transaction is consummated. It shall be the continuing responsibility of the Board of Trustees, officers, and management employees to scrutinize their transactions and outside business interests and relationships for potential conflicts and to immediately make such disclosures.

### **Disclosure Policy and Procedure**

Transactions with parties with whom a conflicting interest exists may be undertaken only if all of the

following are observed:

1. The conflicting interest is fully disclosed.
2. The person with the conflict of interest is excluded from the discussion and approval of such transactions;
3. A competitive bid for comparable valuation exists; and
4. The Audit Committee of the Board of Trustees has determined that the transaction is in the best interest of the organization.

Disclosure in the organization should be made to the chief executive officer (or if she or he is the one with the conflict, then to the Chair of the Audit Committee), who shall bring the matter to the attention of the Board of Trustees. Disclosure involving directors should be made to the Chair of the Audit Committee (or if she or he is the one with the conflict, then to the Chair of the Board of Trustees) who shall bring these matters to the Board of Trustees.

The Audit Committee shall determine whether a conflict exists and in the case of an existing conflict, whether the contemplated transaction may be authorized as just, fair, and reasonable to the College. The decision of the Audit Committee on these matters will rest in their sole discretion, and their concern must be the welfare of the College and the advancement of its purpose.

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The Vice President and Treasurer's office offers a Related party disclosure form for the purpose of providing disclosure statements. This form can be found on the Treasurer's website under forms on the navigation bar.

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*Adopted by the Audit Committee: May 16, 2007*

For [Faculty](#), [Staff](#), [Students](#)

**Last Reviewed: Oct 1st, 2021**

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Maintained by Vice President and Treasurer

## **Responsible Use of Technology**

### **Policy Statement**

Carleton College makes available to its community members information technology resources for the purpose of teaching, learning, research, and the business of the college. Users are expected to consume these services in a manner that respects reliability, security, and privacy, and is consistent with College policy and all applicable laws.

### **Who Is Affected By This Policy**

The policy applies to all members of the College community, including faculty, students, staff, affiliates, authorized visitors, guests, and others for whom College information technology resources are made available by the College.

### **What Is Covered By This Policy**

This policy applies to College-owned devices and systems and to College-contracted systems and services, as well as privately-owned devices using the College's networks and resources. It applies to technology administered on the College network by individual departments or members of the faculty or staff or by campus organizations; to information services hosted by residential students or by authorized visitors on their own hardware connected to the campus network; to the resources administered by central administrative departments; to personally-owned devices connected by wire or wirelessly to the campus network. It applies to College-affiliated cloud-based websites and services.

## **Policy**

### **1. Acceptable Use**

#### **a. Institutional Use**

Use of all College information technology resources should be for purposes that are consistent with the non-profit educational mission and the policies and legal requirements (including license agreements and terms of service) of the College, and not for commercial purposes.

#### **b. Personal Use**

Faculty and staff personal use of the College's information technology resources, should be incidental and kept to a minimum. The time spent on personal uses of technology should not interfere with or distract from one's job responsibilities. Any personal materials stored on these systems will be deleted without review at the time of separation from the college (resignation, termination or death) unless prior arrangements have been made. Users should understand that use of College resources for personal reasons makes all such information accessible to the College. Users should not have any expectation of privacy when using College resources for personal use.

#### **c. Prohibited Use**

Use of the College's information technology resources must not violate applicable federal, state, or local law, including U.S. copyright law, or applicable College policies, and, if international travel is involved, the laws of the relevant nation or state. From any location, College resources may not be used to transmit fraudulent, malicious, harassing, or defamatory content or other activities that would create a hostile learning or work environment.

#### **d. Political Use**

As a 501(c)(3) organization, the College is prohibited from participating or intervening in any political campaign on behalf of or in opposition to a candidate for public office, and no substantial part of the College's activities may be directed to influencing legislation (i.e. lobbying). Individuals may not use College information technology resources for political purposes in a manner that results in or suggests the College itself is participating in campaign or political activity or fundraising, or for influencing legislation. Any other use with respect to political activity must be permitted by



applicable College policy and consistent with applicable laws.

## **2. Access and Privacy**

The College has the legal right to access, preserve, and review all information stored on or transmitted through its network, equipment, and systems. The College endeavors to respect individual users' confidentiality; however, when the College determines that it has a legitimate operational need to access information created or stored by individual users on College systems, it reserves the right to do so. Users should not attempt to gain access to systems or data for which they do not have explicit authorization to access. They should not engage in activities that might damage or degrade network or systems performance, or launch any attack against an internal or external entity.

## **3. Protection of College Resources**

Users of College information technology resources are responsible for protecting College data, including its confidentiality, integrity, access, retention and disposal, in accordance with the College's privacy, record retention policy, and other applicable College policies. Individuals with College accounts or administrative responsibility over any College resources should take reasonable measures to protect these accounts and resources. Shared College technology resources should be used for institutional purposes and to carry out the legitimate business of the College, and should not be used in a way that disrupts or otherwise interferes with any College activities or damages resources or that is inconsistent with the College's policies or goals.

## **4. Respect of Intellectual Property Rights**

The College supports the following statement on software and intellectual rights:

*Respect for intellectual labor and creativity is vital to academic discourse and enterprise. This principle applies to works of all authors and publishers in all media. It encompasses respect for the right to acknowledgment [sic], right to privacy, and right to determine the form, manner, and terms of publication and distribution. Because electronic information is volatile and easily reproduced, respect for the work and personal expression of others is especially critical in computer environments. Violations of authorial integrity, including plagiarism, invasion of privacy, unauthorized access, and trade secret and copyright violations may be grounds for sanctions against members of the academic community.*<sup>[1]</sup>

## **5. Violations and Penalties**

Violations of the policy may result in disciplinary action, including dismissal from employment, expulsion from further study, and suspension of computing or network privileges.

[1] <https://www.educause.edu/ir/library/html/code.html>

## Student Records

### General information

Student records and data are accumulated and used by officials of the College only in pursuit of our educational mission and to fulfill necessary institutional record-keeping functions. These records, known as education records, are kept in different offices around the campus by several different custodians. Carleton students have a right to inspect and review their education records pursuant to the Carleton College Policy and Procedures on Education Records. If, upon review, a student discovers that an education record is inaccurate, misleading, or in violation of the student's privacy rights or other rights, the student may request that the appropriate portion of the education record be amended.

Carleton College will refrain from disclosing any personally identifiable information contained in a student's education records, except that certain information may be revealed with the consent of the student or as otherwise permitted by law.

Carleton specifically reserves the right to disclose "directory information" to any party without a student's consent. "Directory information" includes information contained in an education record of a student which would not generally be considered harmful or an invasion of privacy if disclosed.

It includes:

1. name: the student's full name
2. addresses: permanent and local college and email address
3. all telephone numbers of record
4. date and place of birth
5. major field of study, minor, certificate of advanced study in foreign language and literature or foreign language and area studies.
6. participation in officially recognized activities and sports
7. weight and height of members of athletic teams
8. dates of attendance
9. degrees and awards received
10. most recent previous school attended
11. photographs and video
12. class year
13. student ID number (The One Card issued to new students in the fall will show each student's id number.)

Students nonetheless have a right to request that directory information be kept confidential. Such a request should be signed by the student and submitted in writing to the [Dean of Students](#).

Students should understand that as long as their parents claim them as financial dependents the parents may have the right to access their education records. It is the policy of the College not to

send parents information from education records without permission of the student except in the following cases: change of or jeopardy to a student's academic status by action of the Academic Standing Committee; change of a student's disciplinary status by action of the Dean of Students (or her/his designee) or the [Judicial Hearing Board](#) or the [Academic Standing Committee](#); necessities of physical or emotional health; and parents' inquiries about academic grades.

Students wishing to obtain a more detailed and comprehensive statement of their rights and responsibilities regarding education records may obtain a copy of the Carleton College Policy and Procedures on Education Records from the Dean of Students or may discuss any questions or concerns with the Dean. Any alleged failure to comply with the law regarding student records may be reported to the United States Department of Education.

## 1. Policies and Procedures Regarding Educational Records

### A. Definitions

For the purpose of this policy, we have used the following definitions of term:

- Student - any person who attends or has attended Carleton.
- Education Records - any record (handwritten, print, tape, film, or other medium) maintained by Carleton or an agent of Carleton which is directly related to a student, except:
  1. A personal record kept by a staff member if it is kept in the sole possession of the maker of the record and is not accessible or revealed to any other person except a temporary substitute for, or a permanent replacement for, the maker of the record.
  2. An employment record of an individual whose employment is not contingent on the fact that he or she is a student, provided the record is used only in relation to the individual's employment.
  3. Records created and maintained by [Carleton Security](#) that were created for the purpose of law enforcement.
  4. Records maintained by the [Health Services](#), the [Counseling Center](#), or the Office of the [Chaplain](#).
  5. Alumni records which contain information about a student after he or she is no longer in attendance at Carleton and which do not relate to the person as a student.
- Personally Identifiable Information - Information contained in any education record which reveals the identity of a student or from which the personal identity of a student could easily be traced. Personally identifiable information includes: (a) directory information, as described below, that may be disclosed without the specific consent of the student; and (b) information that will generally be disclosed only with such consent, e.g., social security numbers or class registration.
- Directory Information - Information contained in an education record of a student which would not generally be considered harmful or an invasion of privacy if disclosed. It includes: (a) student's name; (b) permanent and local college

addresses; (c) all telephone numbers of record; (d) date and place of birth; (e) major field of study and minor; (f) participation in officially recognized activities and sports; (g) weight and height of members of athletic teams; (h) dates of attendance; (i) degrees and awards received; (j) most recent previous school attended; (k) photograph; (l) class year; and (m) e-mail address. Regulations governing the release of this information may be found in the [Disclosure Section](#).

- Party - an individual, agency, institution, or organization.

## B. Right of Access and Limitations

1. Carleton students have the right to review their own education records upon submitting a written request to do so.
2. Carleton reserves the right to refuse to permit a student to inspect the following records:
  - The financial statement of the student's parents.
  - Letters and statements of recommendation for which the student has waived his or her right of access, or which were placed in the file before January 1, 1975 (unless the letters were used for any purpose other than as recommendations).
  - Letters and statements of recommendation placed in the education record after January 1, 1975 if (1) the student has waived the right to inspect and review these documents and (2) the documents were related to the student's admission to an educational institution, application for employment, or receipt of an honor or honorary recognition.
  - Records connected with an application to attend Carleton or a component unit of Carleton if that application was denied.
  - Those records as set forth in the definitions above that are excluded from the definition of "education records."

Notwithstanding the last provision in 2. above, the College may not deny a student access to records maintained by the [Health Service](#), the [Counseling Center](#), or the Office of the [Chaplain](#). These are not education records; access to them is guaranteed by Minnesota statute.

## C. Right to Copies and Limitations

1. Carleton will provide copies of education records to students after receiving a written request.
2. The fee for copies will be 10¢ per page.
3. The Registrar's Office must have signed authorization from the student to release an official academic transcript. The authorization must include the student's name, ID number and the address the transcript should be sent to. Allow four working days processing time.
4. Carleton reserves the right to deny academic transcripts or copies of records in any of the following situations:
  - a. The student has an unpaid financial obligation to Carleton.
  - b. There is an unresolved disciplinary action against the student.

#### **D. Record of Requests for Disclosure**

Carleton will maintain a record of all (1) requests for disclosure of and (2) actual disclosures of, information from a student's education records. The record will indicate the name of the party making the request, any additional party to whom it may be redisclosed, and the legitimate interest the party had in requesting or obtaining the information. The record of disclosures or requests for disclosure may be reviewed by the student.

#### **E. Annual Notification**

Students will be notified of their FERPA rights annually via the [Student Handbook](#) which is in electronic form (hard copy on closed reserve in the library).

#### **F. Application of this Policy**

This policy shall be applied in accordance with the written Guidelines for Records Custodians. Questions or concerns about this policy and its interpretation should be directed to the [Dean of Students](#).

Adopted by the College Council, November 8, 1993

Updated October 9, 2002

Revised by the Board of Trustees on recommendation of College Council, June, 2003

#### **G. Procedures to Inspect Education Records**

Students may inspect and review their education records upon submitting a written request to the appropriate records custodian.

Students should submit to the appropriate records custodian (or to an appropriate Carleton staff person in the same office as the record custodian) a written request which identifies as precisely as possible the record or records the student wishes to inspect.

The records custodian or an appropriate Carleton staff person will make the needed arrangements for access as promptly as possible and notify the student of the time and place where the records may be inspected. (Carleton is required to provide access in 45 days or less from the receipt of the request.)

When a record contains information about more than one student, the student may inspect and review only that portion of the record that relates to himself or herself.

#### **H. Disclosure Of Education Records To Third Parties**

Carleton will disclose personally identifiable information from a student's education record only with the written consent of the student, except in the following cases:

1. Directory information, as defined above. Any student who wishes to designate directory information as confidential information not subject to disclosure should notify the Dean of Students in writing.
2. To school officials who have a legitimate educational interest in the records.

- A school official is:
    - A person employed by Carleton in an administrative, supervisory, academic or research position, or staff position—including a student employee—in support of one of these.
    - A person elected to the Board of Trustees.
    - Contractors, volunteers, and other non-employees performing institutional services and functions.
    - A person who is employed by or under contract to Carleton, or who is appointed by a Carleton administrator, to perform a special task (such as an attorney, auditor, or judicial hearing board member).
  - A school official has a legitimate educational interest if the official is:
    - Performing a task that is specified in his or her position description or by a contractual agreement; or is within the scope of the usual duties performed by a person in that position.
    - Performing a task related to a student's education.
    - Performing a task related to the discipline of a student.
    - Providing a service or benefit relating to the student or student's family, such as health care, counseling, job placement or financial aid.
3. To officials of another school, upon request, in which a student seeks or intends to enroll or is enrolled.
  4. To certain officials of the U.S. Department in Education, the Comptroller General, and state and local educational authorities, in connection with certain state or federally supported education programs.
  5. In connection with a student's request for or receipt of financial aid, as necessary to determine the eligibility, amount or conditions of the financial aid, or to enforce the terms and conditions of the aid.
  6. If required by a state law requiring disclosure that was adopted before November 19, 1974.
  7. To organizations conducting certain studies for or on behalf of Carleton.
  8. To accrediting organizations to carry out their functions.
  9. To parents of an eligible student who claim the student as a dependent for income tax purposes.
  10. To comply with a judicial order or a lawfully issued subpoena.
  11. To appropriate parties in a health or safety emergency.
  12. To an alleged victim of any crime of violence, the results of any disciplinary proceeding conducted by Carleton against the alleged perpetrator of that crime.
  13. As of January 3, 2012, the U.S. Department of Education's FERPA regulations expand the circumstances under which your education records and personally identifiable information contained in such records — including your Social Security Number, grades, or other private information — may be accessed without your consent. First, the U.S. Comptroller General, the U.S. Attorney General, the U.S. Secretary of Education, or state and local education authorities ("Federal and

State Authorities") may allow access to your records and personally identifiable information without your consent to any third party designated by a Federal or State Authority to evaluate a federal- or state-supported education program. The evaluation may relate to any program that is "principally engaged in the provision of education," such as early childhood education and job training, as well as any program that is administered by an education agency or institution. Second, Federal and State Authorities may allow access to your education records and personally identifiable information without your consent to researchers performing certain types of studies, in certain cases even when we object to or do not request such research. Federal and State Authorities must obtain certain use-restriction and data security promises from the entities that they authorize to receive your personally identifiable information, but the Authorities need not maintain direct control over such entities. In addition, in connection with Statewide Longitudinal Data Systems, State Authorities may collect, compile, permanently retain, and share without your consent PII from your education records, and they may track your participation in education and other programs by linking such personally identifiable information to other personal information about you that they obtain from other Federal or State data sources, including workforce development, unemployment insurance, child welfare, juvenile justice, military service, and migrant student records systems.

## **I. Correction of Education Records**

Students have the right to ask to have records corrected if they believe that the records are inaccurate, misleading, or in violation of their privacy rights. The procedure for correcting education records is as follows:

1. A student must ask the appropriate custodian to amend a record. In so doing, the student should identify the part of the record he or she wants changed and specify why it is believed to be inaccurate, misleading or in violation of his or her privacy or other rights.
2. Carleton may comply with the request or it may decide not to comply. If it decides not to comply, Carleton will notify the student of the decision at his or her last known address of record and advise the student of the right to a hearing to challenge the information believed to be inaccurate, misleading, or in violation of the student's rights.
3. A written request for a hearing must be submitted to the custodian of the record in question. Carleton will arrange for a hearing on the matter and will notify the student, reasonably in advance of the hearing, of the date, place, and time that the hearing will be held.
4. The hearing will be conducted by the [Judicial Hearing Board \(JHB\)](#). The student shall be afforded a full and fair opportunity to present evidence relevant to the issues raised in the original request to amend the student's education records. The student may be assisted by one or more individuals, including an attorney.
5. The Chair of the JHB will prepare a written decision based solely on the evidence presented at the hearing. The decision will include a summary of the evidence presented and the reasons for the decision. A copy of the written decision will be provided to the student at his or her last known address of record within a

reasonable time after the hearing, usually in ten academic days unless circumstances require a longer period for a decision to be prepared.

6. If the JHB decides that the challenged information is not inaccurate, misleading, or in violation of the student's right of privacy, they will notify the student of the right to place in the education record a statement commenting on the challenged information and/or a statement setting forth reasons for disagreeing with the decision.
7. The statement will be maintained as part of the student's education records as long as the contested portion is maintained. If Carleton discloses the contested portion of the record, it must also disclose the student's statement.
8. If Carleton decides that the information is inaccurate, misleading, or in violation of the student's right of privacy, it will amend the record and notify the student, in writing at his or her last known address on record, that the education record has been amended.

## J. Types, Locations, and Custodians of Education Records

The following is a list of the types of education records that Carleton maintains, their locations, and their custodians.

<b>Types</b>	<b>Locations</b>	<b>Custodian</b>
Admissions Records	Office of the Dean of Students, Severance 110	<a href="#">Dean of Students</a>
Advising Files	Office of the student's Academic Advisor	<a href="#">Academic Advisor</a>
Alumni Files	Central Records Office, Leighton 129A	Director of Central Records
Cumulative Academic Records	Office of the Registrar, Laird 7B (for current students, graduates, and withdrawals)	Registrar
Disciplinary Records	Office of the Dean of Students, Severance 110	<a href="#">Dean of Students</a>
Financial Aid Records	Office of Student Financial Services, Henry House	Director of <a href="#">Student Financial Services</a>
Financial Records	Controller's Office, Leighton 109	Student Account Specialist
Housing	Office of Residential Life, Severance G10	Director of <a href="#">Residential Life</a>
Placement Records	Career Center, Sayles-Hill 050	Director of the <a href="#">Career Center</a>
Progress Records	Office of the Dean of Students, Severance 110	<a href="#">Dean of Students</a>

*Occasional Records:* Student education records not included in the types listed above



such as departmental memoranda, copies of correspondence in offices not listed, etc.

*Location:* The appropriate official will collect such records, direct the student to their location, or otherwise make them available for inspection and review.

*Custodian:* The Carleton staff person who maintains such occasional systems records.

## K. Retention of Student Records

In general, education records are retained only as long as it is necessary to serve the student's interest or further the necessary administrative functioning of the College. Academic records and a core set of the student record files maintained by the Dean of Students are designated as permanent records. The student's personal file is maintained by the Dean of Students for 1-5 years after the student's graduation or separation from the College, at which time it is cleared of all but the admissions application, directory information, campus job evaluations, notices of awards or honors, a list of extracurricular activities, and information provided by the student which is indicative of post-college activities. At that time the file is transferred to the alumni files maintained by the Central Records Office.

Records of disciplinary status up to and including disciplinary probation are maintained until graduation or until two years after withdrawal from the College; records of disciplinary suspensions, both academic and nonacademic, are maintained for five years; and records of expulsion are kept for ten years.

*[Disciplinary record retention updated by The Board of Trustees on recommendation of The College Council May, 2003]*

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*Adopted by the Board of Trustees June 17, 1993, upon recommendation of the College Council.*

*Reviewed and updated June, 2012.*

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For [Alumni](#), [Faculty](#), [Families](#), [Staff](#), [Students](#)

## Not Reviewed

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Maintained by Dean of Students

## Surveillance Camera Guidelines

### Purpose

Carleton College is committed to enhancing the quality of life of the campus community by integrating the best practices of safety and security with technology. A critical component of a comprehensive security plan is the utilization of a surveillance camera system. The surveillance of public areas is intended to deter crime and assist in protecting the safety and property of the College. It is an extension of the college's law enforcement function even though it is managed by Auxiliary Services.

These guidelines address the College's safety and security needs while respecting individual privacy of those attending, working or visiting Carleton College. To ensure the protection of

individual privacy rights and related state and federal laws, this statement formalizes the process of installing surveillance equipment on College property. Additionally, these guidelines pertain to the viewing, retention, dissemination, and destruction of recordings.

## **Installation Procedures and Locations**

The use of surveillance cameras is limited to uses that do not violate a person's "reasonable expectation of privacy", as that term is defined by law. All surveillance cameras, including those in temporary locations or for active monitoring, will only be installed with the advance approval of the Director of Security Services and the appropriate College vice president. The College's use of surveillance cameras for monitoring or recording must be used in a professional, ethical, and legal manner consistent with all existing College policies. Although not legally required to do so, the College will inform student employees when surveillance cameras are utilized in the workplace.

The College will limit camera positions and views of certain areas. Any view within a residential area will be no greater than what is available with unaided vision. Surveillance cameras will not view private bedrooms, bathrooms, locker room dressing/shower areas, offices, classrooms not used as a lab, or areas through windows. Surveillance cameras will be installed and configured to prevent tampering with or duplicating recorded information. All new installation of surveillance cameras must connect to the College's main system.

## **Viewing**

Only authorized personnel, as determined by the Director of Security Services and appropriate College vice president, will be involved in, or have access to, surveillance monitoring. The existence of this policy does not imply or guarantee that cameras will be monitored in real time 24 hours a day, seven days a week, however the College reserves the right to do so.

## **Retention and Release of Information**

Images obtained through surveillance monitoring or recording will be retained for a length of time deemed appropriate for the purpose of monitoring, but not to exceed 90 days, unless such images have historical value, or are being used for a criminal and/or judicial investigation in accordance with this policy. Surveillance recordings will be stored in a secure location with access by authorized personnel only.

College personnel are prohibited from using or disseminating information acquired from surveillance cameras except for official purposes. All information and/or observations made in the use of surveillance cameras are considered confidential and can only be used for official College and law enforcement purposes. Information and results obtained through surveillance monitoring or recording will only be released when authorized by the Director of Security Services and the appropriate College vice president.

All requests from sources external to the College for the release of information and results obtained through surveillance monitoring or recording must be submitted to the Director of Security Services.

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Last revised July 1, 2013

For [Alumni](#), [Faculty](#), [Faculty Emeriti](#), [Families](#), [General Public](#), [New Students](#), [Prospective Students](#), [Staff](#), [Students](#)

**Last Reviewed: Dec 9th, 2019**

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Maintained by Auxiliary Services

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Academic Regulations & Procedures

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Buildings & Grounds

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College Governance

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Communications

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Community

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Employment & Benefits

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Events

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Faculty Appointments

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Financial

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Health & Safety

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Housing & Residential Living

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**Information Technology, Documents, & Records**

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Research

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Travel & Transportation

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The Campus Handbook is the one place to find all official Carleton College policies and guidelines. It contains the Student, Faculty, and Staff handbooks. These policies and guidelines are subject to change.

If you have questions or corrections, please email [campus-handbook.group@carleton.edu](mailto:campus-handbook.group@carleton.edu).

[Campus Handbook Archive](#) • [Tools for Policy/Guideline Maintainers](#)

This page last updated 22 August 2012.

[Login](#)

# Research

## Copyright

### I. Overview

It is the goal of Carleton College to “liberate individuals from the constraints imposed by ignorance or complacency and prepare them broadly to lead rewarding, creative, and useful lives.” (Academic Catalog, Purpose of the College). To achieve this goal, the free and open exchange of ideas is vital. In this spirit, the College’s copyright policy is intended to encourage all members of the Carleton community to publish their papers, books, and other works in order to share their knowledge openly with colleagues and the public. The College adheres to the long-standing academic tradition that creators of works own the copyrights in works resulting from their scholarly, pedagogical, and creative activities. This principle is the foundation for the College’s policies on copyright ownership.

This principle also underlies the College’s commitment to fostering an environment of respect for and responsible use of the intellectual property of others. The College is committed to helping members of the Carleton community comply with copyright laws by providing resources to help individuals make informed, careful, and situation-sensitive decisions about the lawful and fair use of work created by others.

### II. Application

This policy applies to all faculty (including those on temporary appointments), staff, and students.

### III. Copyright Ownership

#### A. Creator Owns the Copyright

Individuals engaged in scholarly, pedagogical or creative efforts produce a great variety of copyrightable materials they may want to protect from unauthorized use. These include, for example, books, articles, monographs, bibliographies, lecture notes and handouts, musical compositions and recordings, artwork, photographs, films, audio visual works, and computer programs.

When a member of the faculty or staff or a student authors a copyrightable work, that individual will own the copyright in the work (and may voluntarily cede it to a publisher or distributor), unless the circumstances of IIIB, IIIC or IIID apply. Even though the College may provide some support in the way of facilities, materials, equipment, or personnel, individual ownership of the copyright in such works is appropriate.

It is understood, however, that the individual will allow the College to use without

charge any copyrighted work that originally was designed for the express purpose of making such work available to individuals other than, or in addition to the creator for use in teaching, administration, or other College activities. Examples of such work include a computer program designed to improve an office procedure and developed by a faculty or staff member (not under the circumstances of IIIB, IIIC or IIID), or curricular materials created by a faculty member (not under the circumstances of IIIB, IIIC or IIID) to use in sections of a course that is taught by several department faculty. Such materials will be available to the College free of charge, even if the individual who wrote the program or curricular materials has left the College.

## **B. Rights Are Determined by Contract**

1. Ownership of the copyrights in works created in the course of projects or programs funded by an external agency, for example, under a grant or similar arrangement, will be determined in accordance with the terms of agreement with the external party and applicable law. An agreement regarding copyright ownership must be signed by the College, the external agency, and the appropriate individuals before acceptance of outside funding.

2. Generally, students own the copyright in the works they create, including their contributions to collaborative projects, unless the circumstances of IIIC or IIID apply or the student has signed a written agreement regarding copyright. Accordingly, faculty and staff are strongly encouraged to obtain a written agreement from each student before involving students in scholarly research or other projects that may result in works the faculty or staff would want to use or publish. In addition, if there is any question whether IIIC or IIID will apply to works created by a student, a written agreement should be signed before the student begins work.

3. Faculty, staff and students are encouraged to engage in collaborative research and other collaborative projects. Because of the misunderstandings that may result when different individuals own rights in the results of a collaborative effort, a written agreement regarding copyright should be signed before beginning work.

## **C. College Owns the Copyright in Directed and Commissioned Works .**

The College will retain ownership of the copyright in works that are specifically directed or commissioned by the College or produced by an individual (or group of individuals) as a specific job requirement. Examples of works in this category are articles for the alumni magazine or other College publications written by Publications Office personnel; computer software developed by technical staff; and the output of a faculty member on special assignment to write a history of the College while receiving full salary.

This category does not include materials created by faculty in connection with their teaching, research, or other scholarly activities, even though faculty are expected to teach and engage in scholarly activities as part of their job, unless the works are specifically directed or commissioned by the College, as in the example of a faculty member on special assignment to write a history of the College while receiving a full salary. This category also does not include materials created by the staff outside the scope of their employment.

On occasion, the College may grant its copyright to one or more individuals or may

agree to joint ownership of the copyright. If an individual wishes to own the copyright in a work that falls into this category, he or she should raise the issue in writing before undertaking the work. The arrangement on which the individual and the College agree must be documented in writing. If no such writing exists, the general rule of this section III C will be deemed to apply.

#### **D. College Owns Copyright in Administrative Works**

The College will retain ownership of the copyright in works created in the course of an administrative assignment of the College, such as, internal policies and procedures, internal studies and plans, or a report for a university committee.

On occasion, the College may grant its copyright in an administrative work to one or more individuals or may agree to joint ownership of the copyright. If an individual wishes to own the copyright in a work that falls into this category, he or she should raise the issue in writing before undertaking the work. The arrangement on which the individual and the College agree must be documented in writing. If no such writing exists, the general rule of this section III D will be deemed to apply.

## **IV. Distribution of Income from Royalties**

### **A. Copyright Belongs to an Individual or Group of Individuals**

If one or more individuals own the copyright, those individuals are entitled to 100% of the royalties, unless III B, III C or III D applies. If the copyright is owned jointly by one or more individuals, a written agreement on division of royalties should be signed.

### **B. Copyright Belongs to the College or to the College and Others, Jointly**

If the College owns the copyright, all royalties will be paid to the College, unless a special agreement to the contrary has been made in advance. If the copyright is owned jointly by the College and one or more individuals, a written agreement on division of royalties should be signed. If no written agreement is signed, all royalties will be divided equally among the copyright owners.

### **C. Work Resulting From Outside Funding**

If the work will result from a project funded by an outside agency, an agreement on division of royalties must be signed before acceptance of outside funding.

## **V. Further Assurances**

The College, the faculty, the staff, and students will execute such written instruments or agreements as may be required to give effect to this policy.

## **VI. Use and “Fair Use” of Copyrighted Works**

### **A. Compliance with Copyright Laws**

Carleton College expects all faculty, staff and students to make a reasonable effort in good faith to comply with copyright laws in their use of copyrighted materials.

## **B. Fair Use of Copyrighted Works**

The College encourages its faculty, staff and students to take full advantage of the “fair use” exception to the exclusive rights of copyright owners. The College requires, however, that before relying on the fair use exception, faculty, staff, and students will educate themselves regarding the limits of fair use and will, in each instance, perform a careful, good faith fair use analysis based on the four factors identified in Section 107 of the federal Copyright Act. Faculty, staff and students are strongly encouraged to document their fair use analyses as a defense against claims of copyright infringement.

## **C. Assistance with Copyright Compliance**

Because of the complexity of copyright law and, in particular, the fair use exception, the College will provide resources to educate faculty, staff and students and help them make informed, careful and situation-sensitive decisions about the lawful and fair use of works created by others.

## **D. Violation of Copyright Laws**

Upon obtaining knowledge that material residing on College systems or networks is infringing or that College systems or networks are being used for infringing activities (or upon becoming aware of circumstances from which infringing activity is apparent), the College will act expeditiously to remove or disable access to the infringing materials and may deny the individuals responsible further access to College systems or networks. In addition, members of faculty or staff or students or other persons employed by the College who willfully disregard or violate copyright law may be subject to disciplinary action by the College in accordance with applicable disciplinary policies and procedures.

# **VII. Administration of Copyright Policy**

## **A. Copyright Ownership and Distribution of Royalties.**

The Vice President and Treasurer will adopt policies and procedures to implement Sections III, IV, and V of this policy. The Dean of the College will adjudicate in the case of disputes regarding copyright ownership and royalties.

## **B. Use and “Fair Use” of Copyrighted Works**

The Dean of the College will adopt policies and procedures to implement Section VI of this policy.

## **C. Amendment**

The College may amend this policy from time to time as it deems necessary or desirable, subject to applicable statutory and contractual restraints.

For additional information, please see [Copyright at Carleton](#).

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Adopted by the Board of Trustees on October 21, 2006.

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Last revised October 21, 2006

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For [Faculty](#), [Staff](#), [Students](#)

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**Last Reviewed: Oct 1st, 2020**

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Maintained by Dean of the College Office

## Effort Certification Policy

As a recipient of federal funds Carleton College must comply with the Office of Management and Budget (OMB) §200.430 Cost Principals of the Uniform Guidance (UG), which went into effect December 26, 2014, and requires that any compensation for personal services be based on the institution's records and those records must accurately reflect the work performed.

While UG has shifted focus towards internal controls rather than specific documentation, Carleton College will continue to utilize the after-the-fact effort reporting system currently in place at the recommendation of our Auditors. This process ensures that salary and wages are properly expended and that actual effort is consistent with the originally budgeted effort.

The distribution of salaries for employees working on federally funded projects will be supported by Time and Effort Certification Report form. *Hourly employees and student workers will not use this form as their time is certified via electronic time sheets. Recipients of workshop stipends or other onetime payments are certified with the stipend request form.*

Time and Effort Certification reporting will reasonably reflect the percentage distribution of effort by Carleton faculty and exempt employees charged to federally funded projects. Effort is not determined based on a 40 hour week but rather on total hours worked. It is based on 100% of activities for which you are being compensated, including sponsored and non-sponsored activities, for a given time period. Effort is expressed as a percentage.

Each employee will complete and sign his/her effort certification.

Time and Effort Certification reports will be required twice per year as it applies to your specific grant. The Business Office will distribute the form in June for the academic year and again in September for the summer.

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For [Faculty](#), [Staff](#)

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**Last Reviewed: Feb 19th, 2021**

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Maintained by Business Office

## Export Controls, Trade Sanctions, and Foreign Influence in Research

Export controls are the set of laws regulating the shipment or transfer, by whatever means, of controlled items, software, technology, or services out of the U.S. These regulations specifically



target *strategically important* technology or information for reasons of national security, foreign policy, and economic objectives. It is the intent of Carleton College to comply with the law, specifically the Export Controls Reform of 2010 and the Export Controls Act of 2018. These apply to many activities, and are not restricted to federally funded research.

Some activities covered by these restrictions include participating in international research collaborations, traveling internationally, conducting research with proprietary information or technology, making international shipments of advanced scientific equipment or biological materials, conducting research related to outer space, using computer software with encryption features. They may also pertain to information related to cybersecurity, artificial intelligence, machine learning, autonomous vehicles, 3D printing, augmented virtual reality, gene editing, financial technology, semiconductors, robotics, nanotechnology, and biotechnology. This list is not meant to be exhaustive.

That said, *fundamental research* (basic and applied research in science and engineering, the results of which are published and shared broadly within the scientific community), *educational information* (general scientific, mathematical, or engineering principles commonly taught in schools, colleges, and universities), and *public domain information* (information which is published and which is generally accessible or available to the public) *are not subject to export controls regulations*. Proprietary information is not included as fundamental research.

Projects that engage with sanctioned countries or entities may also be subject to restrictions, particularly Iran, Cuba, North Korea, Syria, and Sudan. If you are planning international travel, please refer the US Treasury's list of sanctions:

<https://www.treasury.gov/resource-center/sanctions/Programs/Pages/Programs.aspx>

If you have any questions, or believe your project may be subject to these and related regulations, please contact the [Grants Office](#).

Carleton College supports our faculty in exploring robust collaboration with a wide range of partners around the world, as is appropriate for their work. It is possible that foreign governments may be interested in supporting US researchers. Much of this is benign, such as paying for a distinguished speaker to fly to their country to give presentations on their work. The US government has taken an increasing interest in these activities, particularly as they pertain to research supported by federal grants. Grantees are now required to inform the government of all such foreign support, both at the time of applying for funding and annually as researchers report on the progress of the grant. Our researchers must report any and all support from foreign sources: foreign employment arrangements, foreign grant support – both monetary and in-kind such as equipment, talent programs, travel awards, and the like. The Grants Office will assist Carleton researchers in reporting all such support to the appropriate federal agencies, which is now mandatory. The existence of such support is likely not an issue, but reporting the support ensures that you have been forthcoming about it. The government's focus is to protect US trade secrets and to prosecute tax evasion.

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Last revised March 13, 2019

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For [Faculty](#), [Staff](#), [Students](#)

**Last Reviewed: Aug 2nd, 2021**

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Maintained by Grants Office

# Financial Conflict of Interest (FCOI) for Faculty and Academic Staff Applying for Carleton-Administered Federal Grants

## Introduction and Summary

In August 2012, Carleton updated the College's policy related to financial conflicts of interest (FCOI) to ensure compliance with the FCOI policy of the National Institutes of Health (NIH).

The College chose to conform to the NIH's comprehensive policy because other federal funders either have adopted, or we expect they will adopt, standards similar to the NIH.

The full NIH statement on FCOI can be found on the Institutes' website, as part of the 2011 PHS Regulations ([42 C.F.R. Part 50, Subpart F](#)); along with [Frequently Asked Questions on FCOI](#), and additional information on NIH's [Financial Conflict of Interest page](#).

## Key Elements

Carleton's revised FCOI policy can be found below, but the **key elements of the policy** can be summarized as follows.

A project director (a.k.a. principal investigator) must disclose to the College all "significant financial interests" on his or her part and/or the part of his/her immediate family that include

- at least \$5,000 of payments from and/or equity interests in publicly-traded entities, or
- any equity interest in non-publicly traded entities, or
- reimbursed or sponsored travel such as a conference trip paid for by a corporate sponsor.

Note that owning stock in a company does not by itself qualify as a significant financial interest, unless you are receiving more than \$5,000 in payments from that company or the company is not publicly traded.

All interests related to a PD's institutional responsibilities, not just his/her NIH (or other federal grant) project must be disclosed to the College, with two exceptions:

- Income from seminars, lectures, or teaching, and service on advisory or review panels for government agencies, institutions of higher education, academic teaching hospitals, medical centers, or research institutes affiliated with an institution of higher education.
- Income from investment vehicles, such as mutual funds and retirement accounts, as long as the investigator does not directly control the investment decisions made in these vehicles.

The disclosure process can be initiated by completing the Compliance and Disclosure Form available at Corporate and Foundation Relations [Forms & Templates page](#).

For further information, contact Christopher Tassava (x5833, ctassava) or Dee Menning (x4441, dmenning) in the Office of Corporate & Foundation Relations.

## Policy

### **POLICY ON FINANCIAL CONFLICT OF INTEREST (FCOI)**

FOR ALL FACULTY AND ACADEMIC STAFF APPLYING FOR CARLETON-ADMINISTERED FEDERAL GRANTS

*As set by relevant federal regulations, including*

National Institutes of Health: [Financial Conflict of Interest](#) within NIH's Policy & Compliance/Grants & Funding pages

National Science Foundation: [Conflict of Interest Policies](#) in PAPPG 18-1 Chapter IX-Grantee Standards

Federal Register, Part IV, DHHS, August 25, 2011: [42 CFR Part 50, 45 CFR Part 94](#)

## 1. SCOPE

The following statement of policy applies to each member of the faculty or academic staff (Investigator) applying for a Carleton-administered grant from a federal agency or foundation. The policy was developed in response to 1995 federal rules and revised to meet 2011 regulations that govern institutional and researcher responsibilities in identifying and monitoring conflicts of interest. By assuming this responsibility for themselves, colleges and universities may avoid outside monitoring and regulation by the federal government.

## 2. FIDUCIARY RESPONSIBILITIES

Employees, officers, and members of the board of the College serve the public trust and have a clear obligation to fulfill their responsibilities in a manner consistent with this fact. All decisions of the board and officers of the administration and the faculty and academic staff are to be made solely on the basis of a desire to promote the best interests of the College and the public good. The College's integrity must be protected and advanced at all times. College faculty or academic staff applying for grants may be involved in the affairs of other organizations. It is unlikely that an effective faculty will consist of individuals entirely free from at least perceived conflicts of interest. Although most such potential conflicts are and will be deemed to be inconsequential, everyone is responsible for ensuring that the College is made aware of situations that involve business relationships that could represent a conflict of interest with respect to an outside grant. *Thus, the College **requires that applicants** for a grant of College-administered funds from a federal agency **(1) review** this policy; **(2) disclose** any possible business relationships that reasonably could give rise to a conflict of interest for the investigator and/or his or her spouse/dependent children; and **(3) acknowledge** by his or her signature that he or she is in accordance with the letter and spirit of this policy. In addition to making this statement at the time of application, investigators must renew this statement a) within 30 days of identification of a new conflicting interest, and b) annually for previously identified FCOI.*

## 3. DISCLOSURE

Faculty or academic staff are required to list on the Compliance & Disclosure Form only those substantive business relationships (in federal parlance, "significant financial interest") that could directly affect the design, conduct, or reporting of federally funded research. "Significant financial interest" or SFI\* includes any payments or equity interests in the 12 months preceding the disclosure that, when aggregated, exceed \$5,000 in remuneration and/or in equity interest in any publicly traded entity **AND/OR** \$5,000 in remuneration or *any* equity interest in a non-publicly traded entity that might affect the investigator or the research. In the event that a faculty member is uncertain as to the appropriateness of listing a particular relationship, the Dean of the College, as Institutional Grants Administrator, should be consulted. This policy per federal guidelines applies to the investigators responsible for the design, conduct, or reporting of federally-funded research; **and their spouses and dependent children**. This policy also applies to subgrantee investigators. Conflicts of interest frequently are matters of degree and judgment, and the College expects faculty and academic staff to be alert to the possible effect of outside activities on the integrity of their decisions and on their ability to fulfill their

obligations to the institution and/or to funding agencies. As potential or actual conflicts of interest arise, the Institutional Grants Administrator will determine which conditions or restrictions might be imposed to manage, reduce, or eliminate actual or potential conflicts of interest. Records of financial disclosures will be maintained for at least three years from the date of submission of final expenditures reports. The College will make conflict information available, upon request, to federal agencies. Under the federal regulations listed above, **Carleton College has certain obligations** related to financial conflict of interest:

- provide public accessibility: [FCOI policy in Carleton's Campus Handbook](#).
- inform investigators of regulation, institutional policy, SFI disclosure responsibility, training requirements. CFR will obtain and file signed Compliance and Disclosure Forms upon proposal submission to NIH, NSF, and other select federal agencies. The Dean's office will email annual reminders for investigators to update their FCOI status and forward to CFR, and will track and verify training of faculty/staff/students involved in research.
- provide investigator FCOI *training* for NIH-funded grants: prior to engaging in research and at least every four years, and immediately when FCOI policies significantly change or when an investigator is new to Carleton or an investigator is found noncompliant.
- incorporate language as part of *subrecipient agreement* contracts that establish FCOI policy (include terms that establish whether the FCOI policy of the awardee institution or that of the subrecipient will apply to the subrecipient investigators, and includes time periods to meet SFI disclosure, if applicable, and FCOI reporting requirements).
- designate an *institutional official* (Dean of the College, acting through CFR/Sponsored Research Office) to (a) solicit and review disclosure statements from each investigator planning to participate in federally funded research at time of application and annually, (b) oversee guidelines to identify conflicting interests, (c) develop and maintain management plans that specify the actions that have been, and shall be, taken to manage FCOI.
- provide *disclosure* of FCOI to NIH, when FCOI is identified: prior to expenditure of funds, annually during the period of the award (at time of annual progress report or extension ask, via eRA Commons FCOI Module), and within 60 days of discovering or acquiring a new SFI.
- maintain *records* of all investigator disclosures of financial interests and of the institution's review of and response to such disclosures, for at least three years from submission of final expenditures report; provide initial and ongoing reports per NIH specifications through the eRA commons FCOI Module; make information available upon federal agency request.
- respond, within 120 days of determination, to *non compliance* by completing and documenting a retrospective review of the investigator's activities and NIH-funded research project to determine if there was bias in design, conduct, or reporting.
- address these particulars if/when a *management plan* for FCOI Reporting is needed: 1) role and principal duties of the conflicted investigator in the research project; 2) conditions of the plan; 3) how the management plan design will safeguard objectivity in the research project; 4) confirmation of the investigator's agreement to the plan; 5) how the plan will be monitored to ensure investigator compliance (following guidelines of Federal Register Vol. 76, No. 165, section 50.605 "[Management and reporting of financial conflicts of interest](#)").

## DEFINITIONS

### *Investigator*

For the purposes of this policy, a researcher or is a person, regardless of title or position, responsible for the design, conduct, or reporting of research funded by a federal agency, or proposed for such funding. Collaborators, consultants, and subgrantees may thus be considered “investigators,” and an investigator’s spouse and dependent children are also considered (for the purposes of this policy) to be “investigators.”

### ***Significant Financial Interest (SFI)***

A **significant financial interest** consists of interests that reasonably appear to be related to the investigator’s institutional responsibilities:

- with regard to any *publicly traded entity*, a SFI exists if the remuneration received in the 12 months preceding the disclosure, and the value of any equity interest as of the date of disclosure, exceeds \$5,000. “Remuneration” includes (i) salary, and any payments for services such as consulting fees or honoraria, paid authorship, reimbursed or sponsored travel and (ii) equity interest includes any stock, stock option, or other ownership interest.
- with regard to any *non-publicly traded entity*, a SFI exists if the value of any remuneration received in the 12 months preceding the disclosure, and the value of any equity interest as of the date of disclosure, exceeds \$5,000, or when the investigator holds *any* equity interest.
- intellectual property rights and interests such as patents or copyrights, upon receipt of income related to such rights and interests.

An investigator also must disclose the occurrence of any reimbursed or sponsored travel (i.e., that which is paid on behalf of and not reimbursed to the investigator so that the exact monetary value may not be readily available), related to their institutional responsibilities, provided, however, that this disclosure requirement does not apply to travel that is reimbursed or sponsored by certain *excluded sources* provided in regulation:

- salary, royalties, or other remuneration paid by the institution to the investigator if the investigator is currently employed or appointed by the Institution;
- intellectual property rights assigned to the institution and agreements to share in royalties related to such rights;
- income from seminars, lectures, teaching engagements, or service on advisory committees or review panels sponsored by a governmental agency, an Institution of higher education, or a research institute affiliated with a higher education Institution.

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Last revised March 13, 2019

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For [Faculty](#), [Staff](#)

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**Last Reviewed: Aug 2nd, 2021**

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Maintained by Grants Office

## **Government Grants - Allowable Expenditures**

Grant expenditures are subject to additional restrictions imposed by OMB Uniform Guidance (UG). All grant expenditures must be evaluated to ensure they are allowable under the terms of the grant, within the allowed time period, properly authorized and adequately documented.

An electronic **Grants Manual** has been prepared as a resource for faculty who have received external or federal funding in order to provide the necessary resources to ensure a successful project. Although the College is legally accountable to the grant sponsor as the official recipient of a grant, the Principal investigator is responsible for the proper fiscal management and conduct of the project.

<https://apps.carleton.edu/campus/business/govgrantmanual/>

The policies have been provided in order to provide clear guidance as to what costs constitute appropriate charges to federally funded projects, as well as to achieve consistency with other college policies.

The cost principles relating to expenditures on federal awards are contained in the Uniform Guidance, Subpart E, 200.400-409. While UG provides thorough guidance, some excluded items to note are:

- Alcoholic beverages
- Entertainment costs
- Personal expenses or purchases
- Lobbying
- Participant support costs not specifically addressed in your award letter
- International travel costs not specifically addressed in your award letter

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Last revised August 24, 2018

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For [Faculty](#), [Staff](#)

**Last Reviewed: Feb 12th, 2021**

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Maintained by Business Office

## **Institutional Review Board (Research on Human Subjects)**

### **Statement of Policy on Research Involving Human Subjects**

Carleton College is committed to academic freedom. Research will not be forbidden because it is innovative, unorthodox, sensitive or otherwise extraordinary. The College protects the right of faculty to conduct research when that research has been reviewed and approved by the Institutional Review Board (IRB).

Carleton College is guided by the ethical principles set forth in the Report of the National Commission for the Protection of Human Subjects of Biomedical and Behavioral Research ("[The Belmont Report](#)"): respect for persons, beneficence and justice. All persons involved in conducting research have an obligation to respect the dignity and integrity of the persons beings studied, including their right not to be the subject of potentially harmful research. Where possible, potential subjects should be provided the opportunity and means to decide freely whether to participate.

Researchers who promise confidentiality are responsible for maintaining it and for informing subjects of the limits of their capacity to meet that responsibility. Research procedures should minimize the risk of harm and maximize the possible benefits to the subject and to society. Subjects should be selected for reasons directly related to the problem being studied, not because of their easy availability, their compromised position, or their manipulability. Researchers must exercise

special care when the subjects of research are especially vulnerable to harm because they cannot understand the risks or because they are not in a position to refuse their participation in the research.

All research on human subjects conducted by Carleton faculty, students and staff, at Carleton or at other institutions and research sites, must conform to these ethical principles. *Research that proceeds in violation of this policy is subject to disciplinary action by the appropriate college official, typically the Dean of the College or his or her designee.*

### **Applicable Regulations**

Carleton College has filed a Federal-Wide Assurance with the Office for Human Research Protections. This assurance (1) adopts the ethical principles set forth in the Belmont Report, (2) adopts the federal regulations for the protection of human subjects set forth in 45 Code of Federal Regulations Part 46\*, and (3) declares that these ethical principles and regulations apply to all research with human subjects regardless of whether and how it is funded.

\*Copies of 45 Code of Federal Regulations Part 46 are available [online](#).

Carleton College's policy on research with human subjects has been approved by the Dean of the College on 3/31/2019.

### **Research Subject to Review**

#### DEFINITION OF RESEARCH WITH HUMAN SUBJECTS

“Research” means a systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge. It does not include oral history, biography, literary criticism, legal research, and historical scholarship, or any other scholarly activity where the researcher is concerned only with the specific individual(s) being studied and not generalizing to a larger class.

“Research” also does not include educational activities whose results are not intended for publication and would not constitute original research in the field. It also does not include institutional research intended for use only at and by Carleton employees or students. *However, it is the policy of Carleton College that **all** such educational activities and institutional research involving human subjects be conducted in accordance with the ethical principles in the statement of policy above. Approval of non-research activities by the IRB is optional. However, it does offer institutional protection to the investigator and or faculty supervisor. In addition, the IRB is authorized to investigate complaints from subjects of such activities and report violations of this policy to the appropriate College administrator.*

“Human subject” means a living individual about whom an investigator (1) obtains information or biospecimens through intervention or interaction with the individual, and uses, studies, or analyzes the information or biospecimens; or (2) uses, studies, analyzes, or generates identifiable private information or identifiable biospecimens.

Research that uses data on human subjects gathered in earlier research projects requires IRB review, unless the data are rigorously “blinded” (so that the investigator is unable to identify the subjects). Research with these data do not need to be reviewed, provided the researcher is unable to discover identifiable private information.

#### RESEARCH WITH OTHER INSTITUTIONS

When Carleton community members conduct research subject to IRB review at multiple institutions, one IRB must be designated as the IRB of record, agreeing in writing to be responsible for approving and ensuring compliance with the federal regulations. This agreement and

documentation of the IRB's approval must be received by the Carleton IRB before research may begin. *Research at schools, camps and other institutions without IRBs must be approved by the principal or other appropriate administrator at that institution.*

## RESEARCH CONDUCTED OUTSIDE OF THE UNITED STATES

Research conducted by College investigators in foreign countries falls under the College's purview and guidelines. While we cannot impose our standards for written documentation on other cultures, we do not relax our standards for ethical conduct.

While human subjects in foreign countries merit the same level of protection as subjects in the United States, acceptable practices vary from place to place. Different mores, traditions, and institutions may require different research protocols, particularly in informed consent, recruitment practices, and documentation. Special attention should be given to local customs and to local cultural and religious norms in drafting written consent documents. Further, researchers should make themselves aware of the pertinent laws and regulations in the country where they work.

*Research projects must have been approved by the local equivalent of an IRB before they are presented to the College IRB. Where there is no equivalent board or group, investigators must rely on local experts or community leaders to provide approval. The IRB requires documentation of this "local approval" before it gives approval.*

## STUDENT RESEARCH

Independent class projects (when intended as research and not simply as fulfilling a course requirement), senior theses, research projects and similar exercises, which are intended for public dissemination outside of a Carleton venue, must be independently submitted to the IRB by the student-researcher. However, when students conduct research as part of a course of study, a faculty member ultimately is responsible for the protection of the subjects, even if the student is the primary researcher and actually directs the project. Faculty advisors shoulder the responsibility for students engaged in independent research, and instructors are responsible for research that is conducted as part of a course.

As assurance that the College's guidelines will be followed, the advisor or instructor is required to sign the student's application for IRB approval.

## POLICY ON SURVEYING MINORS

Many Carleton students are minors (under 18). The federal regulations require that parental consent be secured before minors are surveyed for research purposes if the investigator obtains identifiable, sensitive information about the subjects. \*\* The Carleton College IRB has adopted the following principles for determining whether and how parental consent for surveys should be secured:

1. The IRB requires the consent of at least one parent before doing survey research on minors only when the investigator will obtain identifiable, sensitive information.
2. It's acceptable to secure blanket consent for several surveys, as long as it's reasonably specific regarding the kind of surveys being administered and the general kinds of uses researchers might put these data to. The parent should have a fairly good idea of the kind of research being done on his/her child, particularly the risks involved (if there are any).
3. The investigator should secure a signed letter or an electronic signature indicating consent. Simple failure to respond to a letter requesting consent should not be taken as evidence of consent.

## Investigator Responsibilities



Investigators are responsible for the ethical conduct of their research and the conduct of participating faculty, students, and staff. Investigators ensure that research involving human subjects is reviewed and that this review takes place **before** the research is initiated.

The investigator must also

- Seek approval for making changes in the research protocol
- Report to the IRB unanticipated problems or adverse events
- Reapply for approval when approval expires
- Retain copies of IRB approval documents
- Retain copies of signed consent forms for three years after the completion of the research

## **The Mechanics of Securing Approval for Research**

### PROCEDURES

The investigator is responsible for (1) determining whether the project involves research with human subjects and (2) submitting a complete application for approval with all supporting documents. After reviewing the application and its supporting materials, the IRB may ask the investigator to explain some elements of the protocol and may require revisions in the protocol. When the investigator revises a project, the IRB reviews the project again to see whether its concerns have been adequately addressed.

To fully protect subjects, the IRB must approve a project before investigators start to work on it—even before they begin to recruit subjects, since recruitment strategies are part of the review.

Research projects are reviewed at one of four levels, depending on the IRB's interpretation of the project's risk to the human subjects and on the federal guidelines that define the categories of review, which are:

- screening for exemption from any IRB review;
- limited review;
- expedited complete review;
- full review.

### **The level of review can be determined only by the IRB.**

If the IRB disapproves the research, it shall provide to the investigator a written statement of the reasons for its decision and give the investigator an opportunity to respond in writing or in person.

### **Continuing Oversight**

If the IRB determines that the work is **fully exempt** from IRB oversight, no continuing work with the IRB is necessary.

If the IRB determines that the work in question is **exempt with limited review**, the IRB will require researchers to secure consent from their participants prior to the study. Provided the protocols and purpose of the research do not change, no further IRB oversight is necessary.

All research subject to **full review** is subject to at least annual review by the IRB and a renewal process.

Research subject to **expedited review** may be subject to annual review and renewal at the IRB's discretion.

If research involves extreme risk to subjects, the IRB may require more frequent review and may ask to be kept apprised of all research activity. The investigator is responsible for re-applying for approval after the initial IRB approval expires. The IRB will conduct an expedited review of these applications, unless the research protocol has been modified or new subjects are to be added and full review is otherwise appropriate.

### **Procedure for Addressing Complaints from Research Subjects**

If possible, subjects must be told that they can direct complaints about the conduct of the research to the Chair of the IRB. *If the research is on-going, the IRB will document complaints and review research procedures. If the research is completed, the IRB will investigate the complaint, including discussing it with the investigator, and prepare a report. The report will be forwarded to the investigator and to the appropriate college administrator.*

### **Record Keeping**

The IRB shall maintain documentation of all reviews, including the application, supporting materials, correspondence among reviewers and between reviewers and investigators, and minutes of IRB meetings. All records associated with a review shall be kept for at least 3 years after completion of the research and made available for inspection and duplication by authorized persons. Records may be kept electronically or in printed form.

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Last revised November 2, 2020

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For [Faculty](#), [Staff](#), [Students](#)

### **Last Reviewed: Nov 2nd, 2020**

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Maintained by Dean of the College Office

## **Misconduct in Science**

Policies and Procedures for Dealing with Misconduct in Science for Faculty and Students Engaged in Research Supported by Federal Agencies.

### **Goals of a Policy at Carleton**

Carleton College expects academic integrity from its employees at all times and in all circumstances.

Any institution of higher education having one or more faculty members who receive research support from select federal agencies (as listed in Addendum II, below) is required by the federal government to develop policies and procedures for handling allegations of scientific misconduct in projects supported by the agency. See Addendum I, below, for the official federal definitions of "research misconduct" and of "research" used in this policy.

Although Carleton strives to promote a climate of honesty in research, the College should nevertheless recognize the possibility of fraud in the conduct or reporting of research and be willing to address any cases of alleged fraud. At the same time, policies for handling fraud should not be so obtrusive as to dampen the spirit of inquiry or threaten the close working relationships and the trust among colleagues. The process must distinguish deliberate fraud from honest errors and debatable interpretations of incomplete data. Errors and questionable interpretations are normally corrected by additional research and are part of the process of scientific investigation as well as other forms of scholarly inquiry, including (but not limited to) humanistic research using documentary evidence or

social-scientific fieldwork.

Reporting: Carleton College encourages all those who believe they have witnessed scientific misconduct to report that activity. Suspicions of misconduct should be submitted to an associate dean in the [Dean of the College office](#). Please be aware, should an investigation take place, the name of the complainant cannot be kept from the person accused of misconduct. *The associate deans would be happy to discuss the situation with a potential complainant in a confidential matter before a formal investigation takes place.*

### **Key Elements of the Policy**

Faculty engaged in research should be well-informed on what constitutes ethical conduct in research. To buttress this point, the dean of the college will send annually to appropriate faculty a reminder of their obligation to be cognizant of ethical issues. (The Public Health Service (PHS), which includes the National Institutes of Health (NIH), requires an initial assurance and annual update indicating compliance.) An orientation for each student researcher beginning work with a faculty mentor should be standard practice, and most often includes the research mentor asking each student to complete the College's [Responsible Conduct of Research \(RCR\) training](#).

Because of the possibility of research misconduct, however remote, the ethical climate must include the understanding that someone bringing a complaint will be heard and that his or her rights, as well as the rights of someone suspected of unethical behavior, will be protected. In addition, inquiries and investigations must be conducted with the utmost concern for confidentiality for both the person bringing an allegation (the "complainant") and the person accused of wrongdoing (the "respondent"). Due process as generally understood in the United States must be the cornerstone of the procedure for responding to an allegation. For our definitions and procedure we draw heavily from the PHS Policies on Research Misconduct (42 CFR Part 93) that became effective in 2005. Institutional policies below address requirements as outlined in CFR 42 §93.304.

The procedure for addressing misconduct consists of four potential stages, and requires regular communication with the NIH's Office of Research Integrity:

1. An ***inquiry*** to determine whether the allegation or suspected misconduct warrants further investigation.
2. When warranted, an ***investigation*** to collect and thoroughly examine evidence, leading to dismissal of the case or to a recommendation for a finding of research misconduct or other appropriate remedies.
3. An official ***finding***, including a formal report to the dean of the college, the college president, other college officials, and the federal agency, conveying the results of the investigation.
4. Appropriate ***disposition*** of the matter and appropriate action, including required reporting to the Office of Research Integrity (within NIH) at each stage of the procedure, meeting the requirements stated in CFR 42 §93.307 through 93.318. (Details on this reporting appear below.)

### **Confidentiality**

Only those individuals with a need to know in order to perform their job duties will have access to research misconduct cases, as these are confidential proceedings.

### **Time Limitations**

Allegations of misconduct that occurred seven or more years prior to the submission of the allegation will not be considered unless circumstances indicate that the alleged conduct was not

discoverable earlier.

### **Stage 1: Inquiry**

An inquiry, using the criteria of CFR 42 §93.307, into possible fraud can be generated by an allegation of misconduct or other evidence of questionable behavior in research. A complainant should report an allegation, including evidence, to the dean of the college, who, after judging the preliminary evidence to be significant, will initiate an inquiry, usually by designating another senior officer – to act as the Research Integrity Officer – to conduct the inquiry. The dean will be sensitive to possible conflicts of interest when naming the dean's designee, and both will be careful to maintain confidentiality for the complainant and the respondent, abiding by CFR 42 §93.108. If the complainant later decides against pursuing an allegation, the dean's designee may nevertheless continue the inquiry without participation of the original complainant, if sufficient independent evidence is available. The dean's designee will consult legal counsel when legal issues arise, and the respondent and/or the complainant may engage counsel at their own expense.

*Timing.* The inquiry stage of information gathering and fact finding must begin soon after the allegation has been made and should be completed within 60 days from the receipt of the allegation.

*Notice to respondent and custody of research records.* At the start of the process the dean's designee must make a good faith effort to notify the respondent in writing of the charges, the identity of the complainant, and the procedure to be followed. During the inquiry the dean's designee will question both the complainant and the respondent about the allegation and the evidence pertinent to it. The College will also promptly obtain custody of research records and evidence needed to conduct the research misconduct proceeding, inventory the records and evidence, and sequester the records in a secure manner, to the extent it has not already done so at the allegation stage. Protocols for handling the research record and evidence will follow the requirements of §93.305.

*Inquiry report.* At the conclusion of the inquiry the dean's designee must determine whether or not an investigation is warranted and produce a written report on the inquiry and the decision, meeting the requirements of CFR 42 §93.307 through 93.318. He or she must make the decision known to the respondent and may notify the complainant, if the latter has continued to participate in the inquiry. The respondent will be given opportunity to provide written comments on the inquiry report.

According to Public Health Service regulations governing research sponsored by that agency, the Director of the Office of Research Integrity (ORI, <https://ori.hhs.gov/>) must be provided a copy of the inquiry report with information as described in §93.309, within 30 days of finding that an investigation is warranted, if there is a decision to initiate an investigation. Notification of ORI must occur within 24 hours of the decision to open an investigation if a criminal violation is judged a possibility.

*Inquiry that does not lead to a formal investigation.* If the allegation is found to be without merit, no action is needed other than to inform all involved parties. Consistent with §93.317 the College must preserve all documentation relating to the case for at least seven years. Every effort must be made to keep the proceedings of the inquiry confidential and the identities of the complainant and respondent unknown to anyone other than those who participated in the inquiry. Finally, the dean should seek to protect the complainant from retaliation and may take appropriate disciplinary action against anyone engaging in retaliation.

### **Stage 2: Investigation**

*Timing and ORI notice of investigation.* If the dean of the college, after receiving the

recommendation by the dean's designee, determines that an investigation is warranted, this investigation will begin within 30 days. On or before the date the investigation begins, the ORI director will be notified and provided with an inquiry report that meets requirements of §93.307 and §93.309.

*Purpose and committee members.* The purpose of the investigation is to examine all the evidence and determine whether fraud has occurred. A committee chaired by the dean's designee is responsible for the investigation. The other committee members will consist of the chair of the respondent's department (or another tenured member if the chair is the respondent), another tenured member of the department or a tenured member of a related department, and two faculty members from outside the College who are familiar with the respondent's research specialty. The latter three people will be selected by the dean in consultation with the dean's designee, each of whom should be certain that none of the four members has a conflict of interest or relation with anyone connected with the case that would compromise independence of judgment.

*Notice to the respondent.* All involved parties, including the complainant and the respondent, are obligated to cooperate with the investigation and to provide information relating to the case. The respondent will receive, in writing and before the investigation begins, all relevant information in a timely manner to facilitate preparation of a response. The respondent has the right to hear all testimony, to address the charges and evidence, to have legal counsel at his or her own expense, and to provide written comments on the draft report of the investigation.

*Notifications to ORI.* The agency sponsoring the research in question, and in particular the ORI, must be informed of significant developments in the investigation. The Director of the ORI must be informed if an investigation is terminated before completion, or if criminal violations may have occurred, with the College keeping records for at least seven years after termination of the inquiry, consistent with §93.317. The ORI must be notified immediately of special circumstances as described in §93.318 including but not limited to risks to the health or safety of the public, threats to HHS resources or interests, or a need to suspend research activities.

These reporting requirements are specific to research supported by agencies belonging to the PHS. Other federal agencies vary slightly and specifics can be ascertained by following links given below in Addendum II.

*Timing and content of final institutional investigation report.* Except under special circumstances, the investigation should be completed within 120 days. Special circumstances include a large volume of material to be studied, inability of the outside experts on the investigation committee to render judgments quickly, or lack of cooperation from the respondent. If the committee is unable to meet the deadline, it should submit an interim report to the dean of the college, describing the progress of the investigation to date and the reason(s) for the committee's failure to meet the deadline. If unable to complete the investigation in 120 days, the College will ask ORI for an extension in writing. The final investigation report will be in writing and adhere to requirements as described in §93.313.

### **Stage 3: Findings**

The final investigation report should be submitted in writing to the dean of the college, the president of the college, the respondent, and the funding agency. The finding can range from no fraud and no scientific error, through no fraud but significant scientific error, to serious fraud. If no fraud was found but the complainant's allegations were made in good faith, the College must make a strong effort to see that no retaliation is directed toward the complainant. If, on the other hand, the complainant's charges have been determined to be malicious and unfounded, disciplinary action against the complainant may be taken. Furthermore, the College must make "diligent efforts" to protect and, if necessary, restore the reputation of anyone wrongly accused.

After the investigative committee presents its findings to the dean of the college and the president, these two officials must review the case and then accept, modify, or reject the findings. In extraordinary cases the Board of Trustees may accept a petition from the respondent to hear an appeal from the findings.

*Notice to ORI of institutional findings and actions.* The College must send a complete report to the ORI in accordance with 42 CFR §93.315.

*Record retention.* Records will be maintained according to §93.317 Retention and custody of the research misconduct proceeding record.

#### **Stage 4: Disposition**

If fraud or serious scientific error has been identified, the president and the dean of the college will take disciplinary action, as provided for in the Faculty Handbook. Possible actions include a letter of reprimand, suspension of duties for a stated time, salary reduction, or an initiation of action toward dismissal for cause and a hearing before the Faculty Judiciary Committee. Concerned parties not already notified should be informed at the end of the process. They include sponsoring agencies, collaborators, co-authors, editors of journals in which fraudulent research was published, professional societies, and, where appropriate, criminal authorities.

#### **Addendum I: Definitions**

In the Public Health Service's definition (which holds for other federal agencies), "research" is a systematic experiment, study, evaluation, demonstration, or survey designed to develop or contribute to general scientific knowledge (basic research) or specific knowledge (applied research) [§93.222 Research].

"Research misconduct" is the "fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results."

FABRICATION is making up data or results and recording or reporting them.

FALSIFICATION is manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.

PLAGIARISM is the appropriation of another person's ideas, processes, results, or words without giving appropriate credit. Subtle forms of plagiarism include inadequate citation and footnoting, along with presentation of the same data in more than one publication without citation.

Research misconduct does not include honest error or differences of opinion. A finding of research misconduct requires that –

- There be a significant departure from accepted practices of the relevant research community;
- The misconduct be committed intentionally, knowingly, or recklessly;
- The allegation be proven by a preponderance of the evidence.

#### **Addendum II: Relevant Federal Agencies**

A list of federal agencies implementing a research misconduct definition with their respective policy or Code of Federal Regulations (CFR) location or link can be found on [the CFR website](#).

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*Adopted by the Board of Trustees on June 21, 1990.*

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Last revised March 13, 2019

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For [Faculty](#)

**Last Reviewed: Jan 4th, 2022**

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Maintained by Dean of the College Office

## Off-Campus Engagements

Faculty members may undertake off-campus engagements at their discretion provided these do not involve 1) more than three days in a month; or 2) missing more than one class meeting per course during a term per term for reasons unconnected with illness. Off-campus activities at a level above 1) or 2) require approval of the department chair and the dean of the college. Such activities will be permitted if they can be performed without compromising the faculty member's on-campus responsibilities.

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For [Faculty](#)

**Last Reviewed: Jan 7th, 2022**

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Maintained by Dean of the College Office

## Patents

### I. General policy

Carleton College will seek patent protection for those ideas and discoveries (Developments) which arise out of the research activities of its faculty and staff where it appears necessary or desirable to do so.

### II. Definitions

Developments shall mean such products as inventions, discoveries, apparatus, devices, processes, computer hardware, computer software, plants, organisms, genetic material, etc. that arise out of employment activities of a Developer or are related to College Research. Developments do not include matter that is primarily educational, literary, or artistic in nature.

College Research shall mean, for purposes of this policy, all research conducted in the course of a Developer's employment with the College (including but not limited to the performance of a grant contract or award made to the College by an extramural agency) or with the use of College resources.

Developer shall mean any person employed or otherwise compensated by Carleton College, including faculty, visiting faculty and researchers, staff, employees, research and teaching assistants, residents, fellows, and trainees, who produces a Development.

### III. Ownership of Developments

All patentable Developments conceived or first reduced to practice by faculty and staff in the conduct of College Research shall belong to Carleton College. In cases in which the College either does not file an application within one year, or fails to make a positive determination regarding pursuit of a patent within six months from date of receipt of the disclosure notification, all of the College's rights shall be reassigned to the Developer upon request, subject only to such external sponsor restrictions as may apply.

This Policy does not apply to an invention for which no equipment, supplies, facility or trade secret information of Carleton College was used and which was developed entirely on the Developer's own time, and

- A. which does not relate

1. directly to the business of Carleton College or
2. to Carleton College's actual or demonstrably anticipated research or development, or

B. which does not result from any work performed by the Developer for Carleton College.

#### IV. **Duties of Developer**

With respect to all Developments, Developer will:

- A. promptly disclose such Developments to the College in writing;
- B. cooperate and assist the College in all phases of the patent application process;
- C. assign to the College all rights, title, or interest to Developments, and to all applications for and patents granted with respect to such Developments;
- D. acknowledge and deliver promptly to the College (at the expense of the College) such written instruments and cooperate as may be necessary in the opinion of the College to preserve property rights to such Developments against forfeiture, abandonment, or loss.

#### V. **Royalty Distribution**

Total royalty income shall be distributed as follows:

- A. Gross monetary income received by the College from a Development shall first be used by the College to reimburse itself for out-of-pocket expenses associated with the costs of patenting and licensing the Development.
- B. Net income shall be distributed:
  1. to Carleton College
  2. to the Developer(s) in proportions agreeable among the Developers.

#### VI. **Licensing**

Carleton College encourages the application and marketing of Developments resulting from College Research so as to each a public usefulness and benefit. It may, in appropriate circumstances, license an existing patent or Development on an exclusive basis up to the full term of the patent.

#### VII. **Waiver Requests**

Requests for waiver of any provision of this policy shall be submitted in writing to the Dean of the College. The College recognizes that certain sponsors may wish to impose as a condition of the award of contract or grant funds special provisions which are at variance with this Patent Policy. Under such circumstances, the College may deem such proposals as requests for waiver under this paragraph subject to the additional condition that all faculty or staff engaged in research to be supported by the proposed grant or contract containing such provision shall acknowledge and accept those specific provisions.

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*Adopted by the Board of Trustees on April 17, 1997.*

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Last revised April 17, 1997

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For [Faculty](#), [Staff](#)

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**Last Reviewed: Nov 7th, 2019**

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Maintained by Human Resources



# Procurement, Suspension and Debarment Requirements for Federal Grants

Carleton College is prohibited from contracting with or making sub awards under covered transactions to parties that are suspended or debarred or whose principals are suspended or debarred by the federal government. The College will assure compliance with this federal regulation with confirmation from the System for Award Management (SAM) (<https://www.sam.gov/SAM/pages/public/searchRecords/search.jsf>). SAM will be checked before making a subaward or contract award of any amount to an outside organization. Third party payments associated with federal grants will be reviewed against SAM prior to payment of \$25,000.00 or more. The Business Office should be contacted before entering into a subaward or contract arrangement. A Vendor Selection Form is required to be submitted for equipment purchases of greater than \$10,000.00 which will include the SAM check.

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Last revised February 12, 2021

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For [Faculty](#), [Staff](#)

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**Last Reviewed: Feb 12th, 2021**

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Maintained by Business Office

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Academic Regulations & Procedures

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Buildings & Grounds

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College Governance

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Communications

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Community

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Employment & Benefits

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Events

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Faculty Appointments

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Financial

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Health & Safety

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Housing & Residential Living

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Information Technology, Documents, & Records

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**Research**

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The [Campus Handbook](#) is the one place to find all official Carleton College policies and guidelines. It contains the [Student](#), [Faculty](#), and [Staff](#) handbooks. These policies and guidelines are subject to change.

If you have questions or corrections, please email [campus-handbook.group@carleton.edu](mailto:campus-handbook.group@carleton.edu).

[Campus Handbook Archive](#) • [Tools for Policy/Guideline Maintainers](#)

This page last updated 9 July 2012.

[Login](#)

# Travel & Transportation

## Driving Privileges

### Purpose

In order to protect the well-being of its students, staff, faculty, and the public, and to comply with insurance company requirements, the College will conduct driver's record checks on students and employees who drive vehicles in the course of their jobs. The College has a responsibility to allow only individuals with driving records indicating a pattern of safe driving practices to operate Carleton owned or leased vehicles, golf carts, gators, or personal vehicles driven on behalf of the College.

### Procedure

1. Employees must be presently licensed to drive a vehicle in the United States and receive an "insurable" notice from the College and insurance company and complete an [online training course](#), called Driver Safety Fundamentals, before they may drive a Carleton owned or leased vehicle. Anyone who either wishes or is required as part of his or her job to drive a College owned or leased vehicle must request insurance review by filling out a [waiver](#) allowing the College to review their Motor Vehicle Report. The College uses a point system to review the Motor Vehicle Report (MVR) results over a three year period in addition to any accidents on campus to determine whether a driver will be approved to drive on behalf of the College and be added to the Approved Drivers List. It is the responsibility of the employee to avoid driving a College vehicle or leased vehicle unless they are on the Approved Drivers List. Substitution of a personal vehicle for College business is prohibited. Contact the Risk Manager x4178 if you need assistance accessing the online training program.
2. Supervisors will be notified if an employee is classified as uninsurable with 15 points or more. The supervisor will make a corrective action plan for the employee within five (5) days of their notification. This plan would include immediate suspension of driving privileges until the points could be reduced to 14 or fewer points.
3. Employees required to drive as a part of their employment will have 30 calendar days from the date notified by the supervisor to become insurable by taking the appropriate driving course (defensive driving or alcohol education) to receive credit points to reduce their total points to less than 15 points. During those 30 days the employee may be suspended without pay. If the Risk Manager receives a certificate of course completion within 30 days, the Risk Manager will notify the insurance company of the certificate and will inform the supervisor. Failure to become insurable within the 30 days will likely result in termination from the position.
4. Employees whose driving license has been suspended or revoked by the Department of Motor Vehicles must inform their supervisor of that action within twenty-four (24) hours. Supervisors must then notify the Risk Manager and make the appropriate correction action

plan for the employee within 5 days. Vehicles may not be issued to employees whose license is suspended or revoked and substitution of a personal vehicle for College business is prohibited. If an employee fails to report a suspended/revoked license or chooses to drive while in an uninsurable status, disciplinary action will take place up to and including termination.

5. Employees involved in a motor vehicle accident involving Carleton vehicles when on College property must notify the Security Department immediately and the point result from the accident will be included in the review of the MVR total.
6. Employees receiving traffic citations involving moving violations citations issued by a municipal, county or state law enforcement officer while operating a Carleton owned or leased vehicle must report the citation to their supervisor and the Risk Manager within twenty-four (24) hours.
7. Employees involved in a motor vehicle accident while operating Carleton owned or rental vehicles must call the state police before moving the vehicle. The Carleton Security Department must also be notified immediately.
8. The use of Cell phones (including texting) is prohibited while driving College vehicles or while you are driving on College business.
9. Individuals are encouraged to use a College owned vehicle for business travel by auto. It is important for employees to be aware that when using a personal car for Carleton business use, the employee's personal car insurance carrier provides liability coverage. It is the obligation of the owner of a personal vehicle being used for College business to carry adequate insurance for his or her protection and for the protection of any passengers. In the event of an accident, the employee is responsible for his/her own auto insurance deductible.
10. Supervisors may access the list of [approved drivers](#) to determine whether they can drive on behalf of the College.

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For [Faculty](#), [Staff](#), [Students](#)

**Last Reviewed: Jan 8th, 2021**

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Maintained by Human Resources

## **Export Controls, Trade Sanctions, and Foreign Influence in Research**

Export controls are the set of laws regulating the shipment or transfer, by whatever means, of controlled items, software, technology, or services out of the U.S. These regulations specifically target *strategically important* technology or information for reasons of national security, foreign policy, and economic objectives. It is the intent of Carleton College to comply with the law, specifically the Export Controls Reform of 2010 and the Export Controls Act of 2018. These apply to many activities, and are not restricted to federally funded research.

Some activities covered by these restrictions include participating in international research collaborations, traveling internationally, conducting research with proprietary information or technology, making international shipments of advanced scientific equipment or biological materials, conducting research related to outer space, using computer software with encryption features. They may also pertain to information related to cybersecurity, artificial intelligence, machine learning,

autonomous vehicles, 3D printing, augmented virtual reality, gene editing, financial technology, semiconductors, robotics, nanotechnology, and biotechnology. This list is not meant to be exhaustive.

That said, *fundamental research* (basic and applied research in science and engineering, the results of which are published and shared broadly within the scientific community), *educational information* (general scientific, mathematical, or engineering principles commonly taught in schools, colleges, and universities), and *public domain information* (information which is published and which is generally accessible or available to the public) *are not subject to export controls regulations*. Proprietary information is not included as fundamental research.

Projects that engage with sanctioned countries or entities may also be subject to restrictions, particularly Iran, Cuba, North Korea, Syria, and Sudan. If you are planning international travel, please refer the US Treasury's list of sanctions:

<https://www.treasury.gov/resource-center/sanctions/Programs/Pages/Programs.aspx>

If you have any questions, or believe your project may be subject to these and related regulations, please contact the [Grants Office](#).

Carleton College supports our faculty in exploring robust collaboration with a wide range of partners around the world, as is appropriate for their work. It is possible that foreign governments may be interested in supporting US researchers. Much of this is benign, such as paying for a distinguished speaker to fly to their country to give presentations on their work. The US government has taken an increasing interest in these activities, particularly as they pertain to research supported by federal grants. Grantees are now required to inform the government of all such foreign support, both at the time of applying for funding and annually as researchers report on the progress of the grant. Our researchers must report any and all support from foreign sources: foreign employment arrangements, foreign grant support – both monetary and in-kind such as equipment, talent programs, travel awards, and the like. The Grants Office will assist Carleton researchers in reporting all such support to the appropriate federal agencies, which is now mandatory. The existence of such support is likely not an issue, but reporting the support ensures that you have been forthcoming about it. The government's focus is to protect US trade secrets and to prosecute tax evasion.

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Last revised March 13, 2019

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For [Faculty](#), [Staff](#), [Students](#)

**Last Reviewed: Aug 2nd, 2021**

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Maintained by Grants Office

## Global Travel for Carleton Employees and Students

Faculty and staff traveling internationally on College business are covered for emergency evacuation assistance through Cultural Insurance Services International ([CISI](#)).

In order for these services to be most effective, record your travel with the [International Travel Record](#). CISI provides medical referrals, evacuation assistance, and a wide range of travel assistance.

Students on rostered Off-Campus programs have emergency assistance, evacuation services and

medical benefits. Faculty and staff planning to travel with students outside of Off-Campus programs must notify the Risk Manager (507-222-4178) to insure that their student travel is reported.

Faculty and staff have the option of purchasing additional international insurance on a personal basis by following the steps listed in the Faculty CISI Self Enrollment Checklist.

**Please refer to the [link](#) on the Business Office website for further information.**

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For [Faculty](#), [Staff](#)

**Last Reviewed: Feb 4th, 2021**

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Maintained by Human Resources

## Headley Travel Fund for Professional Meetings

The College also supports professional development through the Headley Travel Fund. Faculty who are not eligible for the Professional Development Account (PDA) are able to apply to the Headley Travel Fund to support travel to professional meetings. Faculty eligible for the PDA can apply for supplemental support from the Headley Travel Fund as well. Since the first trip in each fiscal year must be financed through the PDA, faculty who apply for Headley Travel Funds will be asked to submit a list of expenses that have been charged to their PDA. Faculty with large, unencumbered balances in their PDAs will be expected to use their PDA funds to pay for additional travel.

[Application forms](#) for the Headley Travel Fund are available on the dean of the College Web site.

The College will contribute to travel expenses from the Headley Travel Fund, where the trip has been approved in advance, under the following conditions:

- Eligible expenses include: a) a competitively priced airfare for round-trip travel between Minneapolis and the meeting location, and b) competitively priced lodging for up to two nights in residence during one professional meeting each year.
- The faculty applying to this fund may normally expect to receive funding for only one such request a year.
- In general, expenses will not be paid for trips to points less than 100 miles from Northfield.
- For travel by private car, mileage will be paid at the regular College rate for the use of private vehicles, provided this cost does not exceed the cost of round-trip airfare.
- Headley Travel funds are intended for use only where the trip or a portion of it is made specifically and primarily to attend professional society meetings. They are not intended to support attendance at such meetings which is incidental to travel for other purposes, e.g., holiday trips and family vacations.
- Full-time visiting faculty members are eligible for up to \$1,500 per year.

Since the Headley Travel Fund cannot usually accommodate all the members of the faculty who apply for assistance from it, faculty who plan early and avail themselves of special incentive airfares can help to stretch the Headley Fund and allow more of their colleagues to travel. In addition, faculty who have received authorizations for travel funds, but due to a change of plans do not make use of them, are urged to inform the office of the dean of the college immediately of such a cancellation. Prompt notification sometimes makes it possible for a colleague's application to be

approved.

Applications for grants from the Headley Travel Fund should be submitted to the office of the dean of the college for approval in advance, and will be considered in the order in which they are received.

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Last revised June 26, 2013

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For [Faculty](#)

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**Last Reviewed: Mar 8th, 2019**

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Maintained by Dean of the College Office

## Off-Campus Engagements

Faculty members may undertake off-campus engagements at their discretion provided these do not involve 1) more than three days in a month; or 2) missing more than one class meeting per course during a term per term for reasons unconnected with illness. Off-campus activities at a level above 1) or 2) require approval of the department chair and the dean of the college. Such activities will be permitted if they can be performed without compromising the faculty member's on-campus responsibilities.

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For [Faculty](#)

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**Last Reviewed: Jan 7th, 2022**

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Maintained by Dean of the College Office

## Official Closings and Winter Storms

### Official Closings

On rare occasions the College may officially close (although classes may still be in session) as a result of non-weather related issues (i.e. loss of electricity or heat, computer access, tornado, flood, etc.) or due to inclement winter weather. In such events, the process for an official closing will be determined only through select members of the administration; the President, the Vice President and Treasurer, Dean of the College, Director of Human Resources, and the Director of Facilities & Capital Planning. They will take under consideration the level of functionality and operations adversely affected in order to determine the necessity for an official closing.

Staff and faculty could receive notification via the following:

- E-mail (if operational) by one of the determining listed administrators;
- Contact in person. In the event where no readily accessible mode of communication is available (email or voicemail), a designated department contact will report to one of the offices of the determining administrators (i.e. President, Vice President and Treasurer, Dean of the College, Director of Human Resources, Director of Facilities & Capital Planning) for the official closing status of the College.

All regular employees who would have been working will be paid for their lost time. Those who work will be given compensating time off.

It is recommended that each department record voicemail messages on their telephones providing official closure information. These messages can be recorded even if off campus. For instructions on how to do this, refer to [Telecommunications website](#).

When the College decides to remain open even though there may be some functions inoperable, employees are encouraged to remain productive in altering their work tasks. If there is a question as to optional task completion, please confer with your supervisor for direction.

NOTE: Departments providing essential service – heat, security, food, snow removal, telephone, and emergency maintenance, shall make arrangements to provide adequate coverage at all times and in all circumstances. To facilitate snow removal, employees are urged to park in lots that have already been plowed whenever possible.

### **Winter Storms**

When winter storms create hazardous driving conditions, employees may arrive late or leave early with the permission of their supervisors. Each department shall establish its own procedures for doing so. Floating holiday, vacation, weather day or make-up hours may be arranged by the employee in order to receive pay for lost time. Make up hours must be worked within the same pay week as the lost time. Normally, make-up time resulting in overtime will be limited to the dollar value of the lost time pay.

The decision to close the College in the morning will be announced on KYMN, KDHL, KSTP, KARE 11, and WCCO by 7:30 a.m., if possible. Closings during the day will be announced by campus e-mail.

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Last revised December 7, 2005

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For [Faculty](#), [Staff](#)

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**Last Reviewed: Dec 1st, 2021**

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Maintained by Human Resources

## **Student Motor Vehicles and Parking**

**All student motor vehicles**, including students living in non-Carleton owned housing (Northfield Option and hotels), are required to be registered each academic year with the college. Applications for permits must be submitted online to the Dean of Students office. A limited number of registration approvals are available, maximum one per student.

First year students are not be allowed to have vehicles on campus. Exceptions may be made for extenuating circumstances (documentation may be required). Reasons such as the need to drive to campus, a job off campus, or wanting to visit relatives in the area are not considered extenuating circumstances.

### **Regulations/Registration**

**This policy shall be in effect on the first day of classes fall term up to the first day of winter break, and from the first day of classes winter term through final exams spring term, including midterm breaks and spring break (except for the sections regarding moving violations and parking in restricted areas, which apply all year).**



- While attending Carleton College, students are not permitted to drive or possess motor vehicles (cars, trucks, motorcycles, and other such licensable motor vehicles) within the city limits of Northfield except as outlined in the policy. Those students whose applications are received after all available spaces have been assigned will be asked to remove their motor vehicles from Northfield.
- Applications for student permits are required, and are to be submitted via the online [Student Vehicle Registration Application](#). The Dean of Students office will review all applications. Students granted permission to keep a vehicle in Northfield will be issued a parking permit which must be picked up at Campus Services and affixed to the rear bumper of the vehicle on or before the date specified on the approval.
- A fee of \$75 per term or \$200 for the full academic year will be charged for parking a motor vehicle on campus. If students have arranged to store vehicles elsewhere which provides an off-street parking space (e.g., renting a garage) they may do so. The vehicle must still be registered with the college.
- Students temporarily possessing a motor vehicle for a contiguous time period of up to two weeks must obtain a temporary parking permit. These permits may be applied for using the online [Student Vehicle Registration Application](#). Vehicles issued a temporary permit must park in the lot assigned by the Dean of Students office (typically the Rec Center parking lot). There is no fee for a temporary parking permit. Students are limited to one temporary parking permit per academic term.
- Students leaving their vehicle on campus during the winter or summer breaks must obtain permission and parking assignment from the Dean of Students Office. Failure to obtain such permission may result in the owner being responsible for necessary towing and storage fees.
- Students living in non-Carleton owned housing off campus must be provided at least two off-street parking spaces by their landlord, therefore up to two parking permits may be issued by the college for each residence. Vehicle registration for this category is \$25 per term.
- Students who use personal vehicles for college business are advised that by law every motor vehicle which is operated on the public roads, streets and highways in Minnesota must be covered by proper no-fault and liability insurance. Under the financial responsibility law for the State of Minnesota, an owner is legally responsible for their own automobile when the car is being used by a second party. The owner becomes liable for any negligence of the driver of the car. For this reason we ask that all faculty, staff, and students who use or loan their cars for authorized college trips be certain that satisfactory limits of insurance for bodily injury, property damage, and medical payments are carried.

## Where to Park

- Your assigned parking location is the only place on campus you are allowed to park during the hours of 7 a.m. to 3 p.m., Monday through Friday. Vehicles with off-off-campus (Northfield Option) permits may not park anywhere on campus during these hours. Outside of these hours, any legal parking space on campus may be used.
  - During winter break you may park in any designated student parking spot during the hours of 7 a.m. to 3 p.m.
- Per college policy, students cannot park vehicles on city streets between the hours of 2 a.m. and 6 a.m. every night of the week.

- In addition, **City of Northfield parking regulations** state (1) no person shall park a vehicle in one space upon a street or municipally owned parking area for a period exceeding 48 consecutive hours, and (2) there shall be no parking on city streets between the hours of 2 a.m. and 6 a.m. from November 15 until March 15. Any citations for violations of City of Northfield regulations will be issued by Northfield Police.

## Citations/Complaints/Fines

Fines imposed for violations of the Student Motor Vehicle Policy or Carleton parking regulations will be due and payable in the Business Office or the Hub upon receipt by the student of a vehicle citation.

### Current fines include:

- **Possession of an unregistered vehicle:** first offense \$40 fine; second offense \$60 fine; third offense \$80 fine; subsequent offenses \$100 fine, tow, and/or loss of parking privileges on campus.
- **Parking in a handicap stall:** first offense \$80 fine; second offense \$100 fine; third offense \$120 fine; subsequent offenses \$150 fine, and/or tow.
- **Parking on a city street between 2 a.m. and 6 a.m. or parking in an area other than assigned lot or where otherwise restricted:** first offense \$10 fine; second offense \$20 fine; third offense \$40 fine; subsequent offenses \$60 fine, tow, and/or loss of parking privileges on campus.
- **Parking in a fire lane:** first offense \$40 fine; second offense \$60 fine; third offense \$80 fine; subsequent offenses \$100 fine, tow, and/or loss of parking privileges on campus.
- **Careless or reckless driving on any campus road or walkway:** first offense \$40 fine; second offense \$60 fine; third offense \$80 fine; subsequent offenses \$100 fine and/or loss of right to operate a motor vehicle on campus for a period of one year.
- **Failure to display a valid permit:** first offense \$10 fine; second offense \$20 fine; third offense \$40 fine; subsequent offenses \$60 fine.
- **All other violations of Carleton parking regulations:** first offense \$10 fine; second offense \$20 fine; third offense \$40 fine; subsequent offenses \$60 fine and/or tow.

When a violation is accompanied or characterized by other behavior such as careless driving, driving while under the influence of alcohol or other drugs, or other behavior in violation of the Community Standards Policy, the student may be charged with additional violations of the Community Standards Policy and/or Minnesota State Statutes.

All complaints against students concerning Student Motor Vehicle Policy violations shall be submitted to the administrator of that policy. Complaints may be filed by any member of the Carleton community, as well as by any resident of Northfield. Reports should include the following information if available: a description of the vehicle, its license number and state, the location, time, and date of the alleged violation, and details concerning the nature of the incident. Security personnel shall have the right to question any students concerning their relationship to a specific vehicle should a reasonable suspicion of a violation exist.

If a student wishes to appeal a citation, an in-person request must be made to Security Services for consideration within five academic days after delivery of the citation. The right to appeal is

relinquished by failing to contact Security Services within the prescribed time period.

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Last revised December 12, 2012

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For [Families](#), [New Students](#), [Prospective Students](#), [Students](#)

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**Last Reviewed: Aug 17th, 2021**

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Maintained by Dean of Students

## Travel Time for Non-Exempt Staff

If a [non-exempt employee is sent to outside training](#), such as a seminar or conference, the employee is to be paid for time spent at the seminar/conference that fall within their normal work hours (i.e. 8:00-12:00/1:00-5:00). Travel time during their normal work hours is also paid, if travel time is outside of the normal work hours then it is unpaid. An exceptions would be if the employee is the driver instead of the passenger, then the driver would be paid for the travel time to and from the seminar/conference. Another exception would be if either before or after the training session, the employee was required by their supervisor to report to work to perform work duties or to receive instructions, then travel time would be included in the hours worked. An employee may submit a request for mileage payment.

Travel time for an overnight trip made during non-working hours is non-compensable. An employee would be paid for their normal working hours (i.e. 8:00-12:00/ 1:00-5:00).

If the outside training falls on a normal day off, such as a Saturday, the employee would be paid for the time spent at the conference which fall during their normal working hours (i.e. 8:00-12:00/1:00-5:00). If work-related events carry on into the evening or over the lunch hour and the employee is required to attend, that time is compensable as well. Overtime may be avoided by scheduling a different day off during the same work week.

Staff will be reimbursed for personal vehicle mileage for travel on college business if a request is submitted.

Part-time exempt staff will follow the same guideline as stated above for non-exempt staff with being paid according to their normal full time equivalency (FTE). Hours exceeding their FTE may be avoided by scheduling a different day off during the same workweek.

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Last revised September 10, 2019

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For [Staff](#)

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**Last Reviewed: Jan 6th, 2021**

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Maintained by Human Resources

## Travel, Entertainment, and Business-Related Expenses

This policy is intended to be used as a guide for college related travel, entertainment and business-related expenditures. It supports our belief that all business related expenses for the College should be undertaken in the most economical way consistent with achieving the objectives of the College.

Internal Revenue Service regulations state that ordinary and necessary business expenses are reimbursable. The IRS defines ordinary as “common in your field of trade, business or profession”; and necessary as “helpful and appropriate for your business.” The IRS states that meal and entertainment expenses cannot be “lavish or extravagant.”

- The Meals and Incidental Expense (M&IE) rates for federal government employees provide a guide by location to determine what is reasonable. To view the rate for different locations around the United States see <http://www.gsa.gov/portal/content/104877>, and for international locations see [https://aoprals.state.gov/web920/per\\_diem.asp](https://aoprals.state.gov/web920/per_diem.asp).

In order to avoid additional payroll taxes, Carleton reimburses employees under an “accountable plan,” which requires that employees:

- document expenses by costs, dates, and purchase descriptions for expenditures
- describe the business purpose of meals, providing the name and professional position of meal attendees
- return to the employer, on a timely basis, any amount advanced in excess of the substantiated expenses
- submit to the employer requests for reimbursement within 60 days of purchase or event

The College does not reimburse on a per diem basis, however when itemized receipts are not readily available per diem guidelines may be utilized along with the same accountable plan documentation to fulfill IRS business expense reporting requirements. When an employee uses a Carleton purchasing card, no receipt is required for transactions less than \$25, as long as the cardholder provides the business purpose and attendee descriptions.

Departments may choose to have employees complete a Travel Budgeting Tool to have an estimate of the travel expenses prior to the trip. When traveling on behalf of the College please leave your itinerary and emergency contact information with your department chair or manager.

***This is an evolving document. Updates will be made as regulatory (IRS) and industry standards change. Employees should review the Travel Policy at least annually to be sure that they are in compliance with the guidelines.***

**Travelers should monitor the safety conditions associated with each trip prior to departure.**

### **Travel and Reimbursement Payment Requests**

The IRS requires that reimbursements must be processed within 60 days following the event or trip or they are subject to taxation.

These policies apply to Carleton VISA transactions and items submitted for reimbursement on a [Payment Request Form](#).

Reimbursements will be automatically deposited into your chosen bank account.

### **Travel Advance**

A travel advance can be issued to a traveler by the Business Office if it has been approved by an authorized supervisor and is received at least one week in advance of the trip. Advances are made to Carleton personnel only. The IRS requires that advances must be cleared within 120 days or they

are subject to taxation.

### **Business and Personal Travel**

In instances where a traveler interrupts business travel for personal convenience, travels by an indirect route, or is accompanied by his/her spouse/companion not on College business, the traveler must submit accurate records to substantiate official business travel. The College will reimburse the cost of comparable air travel, whichever is less. Employees seeking to combine business and personal travel should document the cost comparison information prior to travel, typically at the time of airfare booking as this information cannot be obtained in retrospect. You can edit the [Business and Personal Travel Worksheet](#) which can be found on the Business Office website to help you document your travel decision. The College does not reimburse any expenses incurred on behalf of the spouse/companion/children or for their personal travel.

### **Charter and/or Private Aircraft**

For the safety of travelers, Carleton does not recommend flying on charter and/or private aircraft. The College assumes no liability for death, personal injury, or property damage in connection with charter/private aircraft travel. Contact the Risk Manager for any requests concerning chartered or private airplanes.

### **Group Travel**

Travel by a group of employees in the same aircraft, automobile, or other mode of transportation is discouraged when the employees' responsibilities are such that an accident could seriously affect the functioning of the College. Key employees, such as the President, Vice Presidents, Deans or a substantial number of employees from the same department should consider this risk when making travel arrangements. Any reward points/tickets received from the purchase of group travel must be used for Carleton travel and not for personal benefit.

### **Spousal or Companion Travel**

The payment for spouse traveling on business is closely regulated by the IRS. The IRS requires a "bona fide business purpose" for the spouse to be on the business trip for the expenses to be reimbursable. The business purpose must be clearly documented on all travel forms. In the specific circumstance where non-business spousal travel is approved it will be treated as taxable income to the employee.

## **1. AIR/RAIL TRANSPORTATION**

### **Domestic Air Travel**

The standard domestic or North American airline accommodation is coach class. Airline industry pricing structures are evolving to include more choices which will increase travel costs.

Service selections that increase travel costs including elections for comfort seating, early bird check in, advance seat selection and preferred or first class are considered a personal expense.

Travel reservations for domestic trips should be made 2-3 weeks in advance, and the best time to book international journeys is 5-6 months in advance. The more flexible your schedule, the easier it is for you to find the lowest fare.

Carleton will reimburse for one checked bag per person. If an additional bag fee is being claimed, justification for the additional bag must accompany the travel expense.

Special accommodations due to extenuating circumstances such as a medical hardship must be approved by a supervisor in advance of purchase.

### **Frequent Flyer Programs**

Participation in frequent flyer programs is encouraged. All incentives are for your benefit and use. Air carrier selection cannot be biased by the traveler's frequent flyer affiliation. The lowest cost air travel should take precedence. Carleton will not reimburse travelers for tickets purchased with frequent flyer miles.

Carleton participates in the Delta SkyBonus corporate loyalty program. If you use Delta for your business related travel, please add the Carleton SkyBonus account number on your travel information. Employees who are members of the SkyMiles program continue to accrue miles while Carleton earns SkyBonus points. You enroll in the SkyMiles program by clicking on the Delta link at [http://www.delta.com/content/www/en\\_US/skymiles.html](http://www.delta.com/content/www/en_US/skymiles.html)

The Carleton SkyBonus account number is US268432682. You can help Carleton earn SkyBonus miles in three ways:

1. If you have a SkyMiles account, add the Carleton SkyBonus account number in your frequent flier profile under the Flight Preferences section.
2. If you do not have a SkyMiles account, add the Carleton account number on the "Passenger Information" screen.
3. If you are booking a ticket with a travel agent, request that they place the SkyBonus number in your reservation.

SkyBonus points cannot be earned on tickets booked through discount travel websites to include, but not limited to: Expedia, Orbitz, Travelocity, or any tour wholesaler/consolidator, such as Delta Vacations®

### **International Air Travel**

The standard accommodation on transoceanic flights is "lowest coach available fare." Airfare costs in excess of the lowest available commercial discount airfare are not allowable except when it causes undue hardship (i.e. physical limitations, scheduling challenges, etc.). Allow adequate time to arrange the most cost effective airfare for your international destination.

Faculty and staff traveling internationally on College business and students on rostered Off-Campus programs are covered for emergency assistance through Cultural Insurance Services International. [CISI](#) provides medical referrals, evacuation assistance, and a wide range of travel assistance. Please notify the Purchasing and Risk Manager, X4178 before leaving. Faculty traveling with students must include student information in their communication. For more information please visit the [International Travel Risk Management](#) section of the Business Office website.

The College's Travel Insurance carrier does not provide coverage in "war risk" countries. Risk Management should be contacted to verify that the country in which you are traveling is afforded coverage.

### **Ticket Purchases**

Employees are expected to use their Carleton Purchasing card to purchase airline tickets. Use

of the Carleton purchasing card ensures the college maximizes rebates for the institution and earns airline credit for both the traveler and the institution. When an individual chooses to use a personal credit card to purchase an airline ticket, the college will reimburse for business travel expenses after the trip has occurred. Documentation must include the boarding pass.

### **Airfare Cancellation**

Employees are responsible for reimbursing airfare change fees and cancellation fees due to personal reasons or poor planning. If airline credit is received due to a cancellation, it should be used on future business travel before the date of expiration.

### **Unused Tickets**

When an unused ticket purchased with a Carleton purchasing card creates an airline credit, the credit should be used for a subsequent business trip. If an employee is not able to use the credit for a business trip, they may reimburse the college and use the credit for personal purposes. Credits on a personal credit card are not eligible for reimbursement.

### **Lost Items**

Lost baggage, clothing, or other personal items are the responsibility of the traveler. Recovery for such personal losses may be available through the employee's homeowner's insurance.

### **Travel Insurance**

Faculty and staff traveling on business, either domestically or abroad are covered by the [College's Insurance Policy](#). This coverage applies only to trips on College business, not for a traveler's personal travel. The cost of any additional travel insurance is not reimbursable.

### **Airport Parking**

Carleton employees can take advantage of discounted parking rates with EZ Air. EZ Air has a minimum requirement of three parking stays per month to stay active in our corporate discount program.

#### **[EZ Air Park Location & Directions](#)**

Our corporate rate for one week is \$80.56 ( including the 7th day free ). When our employees use the services, they only need to show the cashier upon checkout, their Carleton ID badge, Carleton purchasing card or some other proof of employment to get the discounted rate upon exiting. Employees can take advantage of the EZ Air frequent parker program. They will stamp a card for each paid day of parking. Once the card is full with 10 stamps it can be turned in for a free day the next time they travel. Employees can use this discounted rate for business travel or for personal travel.

EZ Air is open 24 hours a day, 7 days a week, including holidays. EZ Air suggests arriving about 20-25 minutes before you want to be at the airport. Shuttles run every 5-10 minutes and it is an 8-12 minute ride to the airport.

EZ Air has a points program in which employees can enroll. You receive 1 point for every day of parking at EZ Air and 10 points give you 1 free day of parking for your next use or parking at EZ Air.

## **2. MEALS**

Meals for employees while away on College business or entertaining on College business will be reimbursed. Entertainment Expenses are those expenses incurred while entertaining

guests of the College and include events such as social and recreational activities, when a business discussion takes place immediately before, during or after the event. Meal costs for business related participants will also be reimbursed. The IRS requires that all requests for meal reimbursement must document the following information (most of the information is already printed on the receipt):

- Who attended (self, if alone)
- Business purpose of the meal
- Cost
- Where the meal was taken
- The date

Original itemized receipts must be submitted for any meal or entertainment expense regardless of cost.

***Note: In situations where a receipt is not readily available (i.e. international travel where meals are purchased at a market), you are asked to provide the information listed above.***

IRS regulations state that expenditure for meals cannot be *lavish or extravagant*. The College does not reimburse on a “per diem basis”. However, the Meals and Incidental Expense rates for federal government employees provide a reasonable guide.

The Meals & Incidental Expense rates differ by travel location. To view the rate for your primary destination to determine which M&IE rates apply go to <http://www.gsa.gov/portal/content/104877>. For international travel destinations go to [http://aoprals.state.gov/web920/per\\_diem.asp](http://aoprals.state.gov/web920/per_diem.asp). For example, the total Meals and Incidental Expense rate for the Northfield and Minneapolis-St. Paul area ranges from \$51 to \$64 per day.

Meals provided in conjunction with seminars may not be claimed as part of the meal allowance.

If an employee is dining out with a travel companion, only the cost of the employee’s meal may be charged. Shared items must be prorated.

### **Gratuities**

Tips at the standard 15%-20% on meals are reimbursable with receipt documentation.

### **Alcohol**

The College will reimburse for one alcoholic beverage chosen as your beverage with a meal. Alcoholic beverages consumed by travelers between or after mealtimes are not considered meals and are not reimbursable, except when they qualify as reasonable entertainment for college or professional business.

The federal government has mandated that no alcohol may be charged as either a direct or indirect expense of federally sponsored projects. This mandate means that under no circumstances should alcohol be charged directly to a federal grant or contract.

## **3. NON-REIMBURSABLE EXPENSES**

- Dues for personal memberships



- Airfare purchased with frequent flyer miles
- Travel insurance – the College provides an insurance policy that covers employees while traveling. Employees should decline additional travel insurance.
- Insurance on domestic rental cars – the College’s insurance provides coverage on employees for accidents involving rental vehicles. Employees should decline additional travel insurance.
- Lost baggage or purchase of baggage.
- Extra baggage charges for personal items (i.e. golf clubs)
- TV rental movies.
- Alcoholic beverages, except for a single drink as the beverage with a meal.
- Gasoline, if mileage reimbursement is used. Mileage reimbursement must be used when using your personal vehicle.
- Oil, insurance premiums, maintenance, towing charges and repair costs to personal vehicles.
- Fines for vehicle violations (speeding or parking tickets, etc.) or for personal misconduct.
- Spa or health club fees.
- Dry cleaning or laundry service if you are staying for less than one week.
- Costs for meals, travel or lodging for spouse or personal guests.
- Costs of commuting between an individual's home and place of work.
- Personal entertainment or excursions.
- Personal phone calls.
- Toiletries, medicine, magazines, etc. purchased while traveling.
- Costs for child care, pet care or lawn/home maintenance.
- Charitable or political contributions.

Expenses that are of a personal nature, or expenses that would be incurred whether or not the employee was on College business, are not eligible for reimbursement. The College requires employees to document and request reimbursement for such expenses in accordance with the following guidelines and the regulations of the United States Internal Revenue Service. In addition, if federal grant funding is used, employees must adhere to all regulations as outlined in the grant.

#### 4. **GROUND TRANSPORTATION**

##### **CAR RENTAL**

##### **Policy and Guidelines**

**Authorized Carleton Drivers** can rent cars if it is economical and a business necessity. To determine if you are an authorized driver, please go to **Collab/Departments/BUSO/BUSO-Shared/Campus/Authorized College Drivers**. Rental of 15 passenger vans is strictly prohibited. Employees renting large vehicles holding 8-12 passengers must complete the large vehicle training by contacting the Risk Manager at 507-222-4178.

Rentals should be limited to situations where other means of transportation are not practical, economical or available. Travelers are encouraged to choose compact or mid-sized cars whenever possible. Travelers are highly encouraged to rent hybrid and fuel efficient vehicles when available and rental costs are similar to those of conventional vehicles. All rentals should be at the Corporate Rate or the lowest possible rate per day. When traveling in groups, sharing of cars is encouraged to reduce costs. Exercise good judgment prior to renting an automobile. At today's rates, cabs may be more economical when traveling in cities. Collision damage or personal accident insurance should not be accepted for business travel rentals since the College carries insurance on hired autos; however, insurance should be accepted when traveling outside of the United States and Canada. Claims should be reported to the Risk Manager (507-222-4178) as soon as possible. When working with a travel agency, car reservations should be made at the same time your airline reservations are made.

### **Cancellation**

Advise the car rental company or the travel agency if you decide to cancel a car reservation. Automobile rental companies also appreciate it if you advise them in the event you plan to keep a car longer than you originally planned. This allows them to keep a current status of their cars.

### **Refueling**

Travelers should be aware that refueling fees often exceed the pump price of gas available in the community. Travelers should refuel before returning the car to the agency. Fuel costs associated with refueling a rental vehicle will be reimbursed based upon actual fuel purchased, not mileage.

### **Rental Car Contracts**

The College recommends the E&I contract through Enterprise/National for rentals using contract number 19A2193 to obtain the contract pricing. Approved drivers between the ages of 18-20 would use contract number XZ78763 and are restricted to renting the following vehicle classes: Economy, Compact, Midsize/Intermediate, Standard, Full size vehicles and Minivans. When renting a vehicle for College business, it is important to familiarize yourself with the rental company's accident reporting procedures. The accident procedures are often printed on the rental agreement. If you are involved in an accident with a rental vehicle, please adhere to the agency's reporting requirements. If you are renting outside of the Enterprise/National Contract you should provide the name of the College's insurance company, **Selective Insurance Company**, and direct the owner of the other vehicle to the Carleton website <http://apps.carleton.edu/campus/business/businessofficeforms/> for our [certificate of insurance](#). They may also contact the Risk Manager at (507) 222-4178 for additional assistance.

### **College Vehicle**

College vehicles are available for business travel to authorized College drivers. Requests for College vehicles should be arranged through Campus Services, contact x4443.

College owned or leased vehicles are to be used for business use. Employees may not use College vehicles for personal purposes.

Carleton College maintains a limited number of fleet of shared vehicles that are available for use by pre-qualified drivers of the College conducting official Carleton College business.

Smoking is prohibited in Carleton College fleet vehicles. Pets are not allowed in College vehicles unless they are properly kenneled and restrained. The use of Cell phones (including texting) is prohibited while driving College vehicles or while you are driving on College business.

1. The driver of a College vehicle is responsible for the vehicle and its occupants. The driver should be familiar with the principles of safe and lawful operation of a motor vehicle and must obey all traffic laws. Failure to assume proper responsibility (safe and lawful operation) for the vehicle and its occupants will result in loss of driving privileges.
2. College vehicles and rental vehicles being used for College business are to be driven only by "pre-qualified" Carleton College employees or students. To pre-qualify **(faculty/staff)**: Complete a Motor Vehicle Report Release Waiver and submit it to the Risk Management Office and complete the online Drivers Safety training, <https://learn.ue.org/J17U4190631/carletonFacultyandStaff>. To pre-qualify **(students)**: Complete a Student Driver Application form, apply for a certified copy of your driving record (obtained from your home State's Department of Motor Vehicles) and submit it to Campus Services, attend defensive driver training, and read the Fleet Vehicle Policies/Procedures notebook. Student drivers are required to provide a certified copy of their motor vehicle records (MVR). Students must renew their driving status in January of each year by submitting a current driving record. Driver training sessions are held on campus at various times throughout the year.
3. If an authorized driver is involved in a motor vehicle accident or receives a moving violation, he or she may be required to attend additional defensive driver training. Students may be asked to provide new MVRs upon a qualifying event such as receiving a moving violation ticket or being involved in an accident either in a personal vehicle or a College-owned vehicle.
4. The list of authorized faculty and staff drivers is maintained by the College's Risk Manager and may be found on Carleton's shared drive "Collab," the student driver list is maintained by the Fleet Vehicle Manager. Copies of both lists are kept in the Campus Services Office and may be referred to prior to checking out a vehicle key. Copies of the student list are distributed to several departments who authorize student travel and upon request.
5. College vehicles are not to be used for personal business. All vehicle use will be charged with a per mile rate through the College's budget system and a budget number must be supplied for each vehicle reservation. Departments and groups will be charged a 100 mile assessment fee if they fail to pick up a reserved vehicle.
6. The use of rooftop carriers or similar externally mounted storage containers on College-owned/leased passenger vehicles is prohibited. The College has one cargo mini-van, which can be used in place of trailers and/or rooftop carriers. Trailers containing a boat or other such apparatus that cannot easily fit in the cargo space may be towed using the cargo minivan. The College has purchased a utility trailer which may also be used behind a cargo van when more storage is required. **Only authorized faculty and staff who have experience towing trailers are allowed to tow a trailer of any kind behind the College-owned vehicles. STUDENTS ARE PROHIBITED FROM USING A TRAILER OF ANY KIND.** All drivers are encouraged to use the space in a cargo van in place of a trailer whenever possible.
7. When there is a state-issued traveler advisory in effect due to a storm warning, no travel

will be allowed. Keys will not be issued for reserved vehicles and everyone traveling in College vehicles should seek shelter until driving conditions improve and all traveler advisories have been lifted.

8. Accidents that occur on campus property should be reported to Carleton Security immediately. Accidents that occur off campus property must be reported to the local police at the time of the accident and to Carleton Security immediately upon return to campus. If there are injuries or if the vehicle is not in “drivable” condition--either due to an accident or mechanical difficulties--contact Fleet Services at 507-222-4443 (Carleton Security at 507-222-4444 after hours) for assistance. Insurance information is kept in the glove compartment of each vehicle. The College will review all accidents involving College vehicles. Determination of future eligibility for drivers involved in accidents will be made on a case-by-case basis. Refer to full College policy for [Accident Procedures](#).
9. Drivers are required to use a “lookout” person to help watch while the driver is backing up a vehicle. Whenever possible, the driver should ask a passenger to assist by getting out of the vehicle and watching until the vehicle has cleared any obstacles and is safe to proceed forward.
10. Any parking or moving violation citations are the driver’s responsibility. The College will not pay any fines.
11. Negligent or other damage costs not covered by insurance are the driver's responsibility.

Insurance information is located in the glove compartment of all fleet vehicles. If a fleet vehicle is damaged and cannot be driven, have the vehicle towed to the nearest dealership or repair facility and make alternative arrangements to return to campus or continue to your destination (taxi or rental vehicle).

### **PERSONAL VEHICLES**

Employees are encouraged to use a College owned vehicle for business travel by auto. It is important for employees to be aware that when using a personal car for Carleton business use, the employee’s personal car insurance carrier provides liability coverage. It is the obligation of the owner of a personal vehicle being used for College business to carry adequate insurance for his or her protection and for the protection of any passengers. In the event of an accident, the employee is responsible for his/her own auto insurance deductible.

Travelers will be reimbursed for business use of personal cars based on mileage. Business mileage is the travel an employee incurs beyond normal commuting mileage (from home to the office and home again) on a normal weekday. The following information must be documented to claim business mileage reimbursement:

- Date of the trip
- The purpose of the trip
- Google map type documentation or mileage log

An employee who uses transportation methods other than their own vehicle to attend local meetings may be reimbursed for actual transportation expenses up to the amount they would be reimbursed if they claimed mileage and parking at the meeting site.

The current reimbursement rate is listed on the [Payment Request Form](#). The college mileage

rate is updated annually each July, based on the then applicable IRS mileage reimbursement rate.

Employees will not be reimbursed for the following, even if these costs are incurred during business travel:

- Car repairs
- Rental car costs during repair of personal car
- Tickets, fines, or traffic violations

### **Vehicle Accident Reporting Procedures**

For All Accidents:

1. Pull out of the driving lane on to the shoulder and turn off the ignition.
2. Activate the four-way flashers on the vehicle.
3. **Immediately** contact the local police (911) to advise them of the accident and to get medical assistance if there are any injuries. Fleet vehicles contain emergency items including a first-aid kit.
4. Do not admit fault or give written statements.
5. Exchange driver's information listed on your certificate of insurance. **At a minimum,** write down:
  - Driver's name
  - Driver's license number and state
  - Phone number
  - Address
  - Insurance Company and policy number
  - License plate number
    - Be prepared to provide the following additional information when you return to campus:
      - Make, model and year of vehicle
      - Damage to vehicle
      - Injury to driver, if any
      - Date, time, road and weather conditions
      - Names and phone numbers of any passengers
      - Injuries to any passengers
      - Names and phone numbers of any witnesses
      - Copy of any photographs
- When local police respond to the accident, request the investigating officer's name, badge number, phone number, and report number. Ask for an accident report form. If the local police will not file a report (because damage is minimal and there are no injuries), ask them to make a note in their records that you called in the accident.

## Phone Numbers

- 911 - Contact local police **immediately**.
- 507-222-444 - Contact Security **within 24 hours** for fleet vehicles.
- 507-222-4178 - Contact the Risk Manager/Business Office **within 24 hours** for rental vehicles.

## Forms

- [Certificate of Insurance](#)
- [State of MN Crash \(Accident\) Report](#) - **submit within 10 days** if accident results in injury, death, or total property damage of \$1,000 or more.

## 5. OTHER

### Injuries

Employees who suffer injury or illness by an accident arising out of and in the course of their employment, whether on or off campus, are provided medical care and other benefits under Worker's Compensation. If injured while on College business, travelers should contact Human Resources at (507) 222-4174 for guidance

### Currency Exchange and ATM Fees

The College will reimburse employees for currency exchange fees. Employees are encouraged to pay for meals, hotels and other expenses on their Carleton Purchasing VISA Card as the cards often offer the safest and most economical exchange conversion.

The College discourages employees from carrying large amounts of cash while traveling. In most cases, using an ATM machine will provide an appropriate rate and will reduce the amount of cash the employee has on his/her person. ATM fees for cash withdrawals will be reimbursed.

### Registration Fees

Advance registration fees for seminars and conventions should be paid using your Carleton Purchasing VISA Card or paid directly by yourself and request reimbursement directly to you. Original receipts or proof of payment are required for reimbursement.

### Tip Guidelines

Tips for meals and transportation at the standard 15%-20% are reimbursable with receipt documentation.

### Telephone and Other Communication Charges

**Cell Phones** – Any use of a cell phone or other personal electronic devices is prohibited while driving or using other equipment or machinery such as forklifts, gators, golf carts, etc. Please have another person in the vehicle use the cell phone/device or pull over prior to using a cell phone.

Employees operating any motor vehicle while working or in a company vehicle must always follow governing state, federal and local laws regarding the use of cell phones and other personal electronic equipment.

**Internet Charges** – Carelton does not provide reimbursement for cell phone coverage or internet connectivity.

### **Citations / Arrests**

Drivers are responsible for payment of fines for all citations, including moving violations or parking tickets. All citations for moving violations must be reported to the Risk Manager at (507) 222-4178.

If you are arrested at the scene of an accident (e.g., for drunk driving, reckless endangerment, etc.) you are responsible for any legal costs you may incur including attorney fees, bail, court costs, towing, impound fees, etc. The College is not responsible for any unlawful acts of its employees or students, and will not defend or indemnify them for alleged wrongful acts involving the use of its vehicles or vehicles rented on college business.

## **6. LODGING**

### **Lodging Expenses**

Travelers should use standard accommodations at reasonably priced mid-market hotels or motels. The College does not approve accommodations at up market or luxury hotels (Ritz, Four Seasons, etc.) However, an exception is made for a conference or workshop.

Request the minimum rate available, educational discount or corporate rate, whichever is lower. When the reservation is made, the only available room may be in a higher category. Therefore, at check-in, you should always double check to insure you are getting the lowest rate. Original itemized hotel receipts are required for reimbursement.

### **Cancellations**

Hotel reservations are typically guaranteed for late arrivals, travelers are required to cancel these reservations in a timely manner to prevent no show charges. If you need to cancel, be sure to note the hotel time, and get a cancellation number or the name of the person with whom you talked. Except under extenuating circumstances, the College will not reimburse expenses due to a traveler's failure to cancel guaranteed room reservations.

### **Gratuities For Hosts**

When staying with a friend rather than in a hotel, a "meal or gift in lieu of" hotel costs is reimbursable. The gift or meal should be reasonable and not exceed the cost of acceptable accommodations. You must provide receipts for the expenses incurred. Cash payments to a host are not allowed. The gift/meal must be purchased and presented to the host during the trip. Explanation of such items should be submitted with the Employee Reimbursement Form.

### **Miscellaneous Hotel Expenses**

Miscellaneous expenses must be itemized and documented. Examples include:

- Limited laundry and dry cleaning charges for trips of more than five days.
- Business telephone calls.
- Meals taken at the hotel.

### **Room Service**

The College discourages use of room service or the hotel mini-bar for meals due to the high

mark up on these services.

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Last revised March 19, 2021

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For [Faculty](#), [Staff](#), [Students](#)

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**Last Reviewed: Mar 19th, 2021**

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Maintained by Business Office

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Academic Regulations & Procedures

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Buildings & Grounds

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Research

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**Travel & Transportation**

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The [Campus Handbook](#) is the one place to find all official Carleton College policies and guidelines. It contains the [Student](#), [Faculty](#), and [Staff](#) handbooks. These policies and guidelines are subject to change.

If you have questions or corrections, please email [campus-handbook.group@carleton.edu](mailto:campus-handbook.group@carleton.edu).

[Campus Handbook Archive](#) • [Tools for Policy/Guideline Maintainers](#)

This page last updated 9 July 2012.

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